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ABSTRACT

Eleven graduate students from the geographic area near and around Southern New Mexico and West Texas, all seasoned professionals in education, all in leadership roles, have presented their approach to leadership. Three commonalities characterize their approaches as revealed by the 10 chapters of this document: (1) leaders must be empowered in order to be effective; (2) the study of leadership is based on the perspective of the work each leader performs professionally; and, (3) a professional dialogue, sharing discontinuities and continuities, prevails in the exercise of leadership. Chapter 1 focuses on the philosophical roots of effective leadership. Chapter 2 discusses the incongruities between leadership theory and the management of effective schools. Interpersonal competence and characteristics of effective leaders are examined in chapter 3. Chapter 4 centers on leader attitudes and his or her instructional role. Chapter 5 discusses the relationship between technology and leadership. Effective leadership in an ethnic setting and leadership in at-risk programs are the foci of chapters 6 and 7. Teacher evaluation and teachers as leaders are among the issues considered in chapters 8 and 9. Chapter 10 links group empowerment to the efficacious leader. (JAM)

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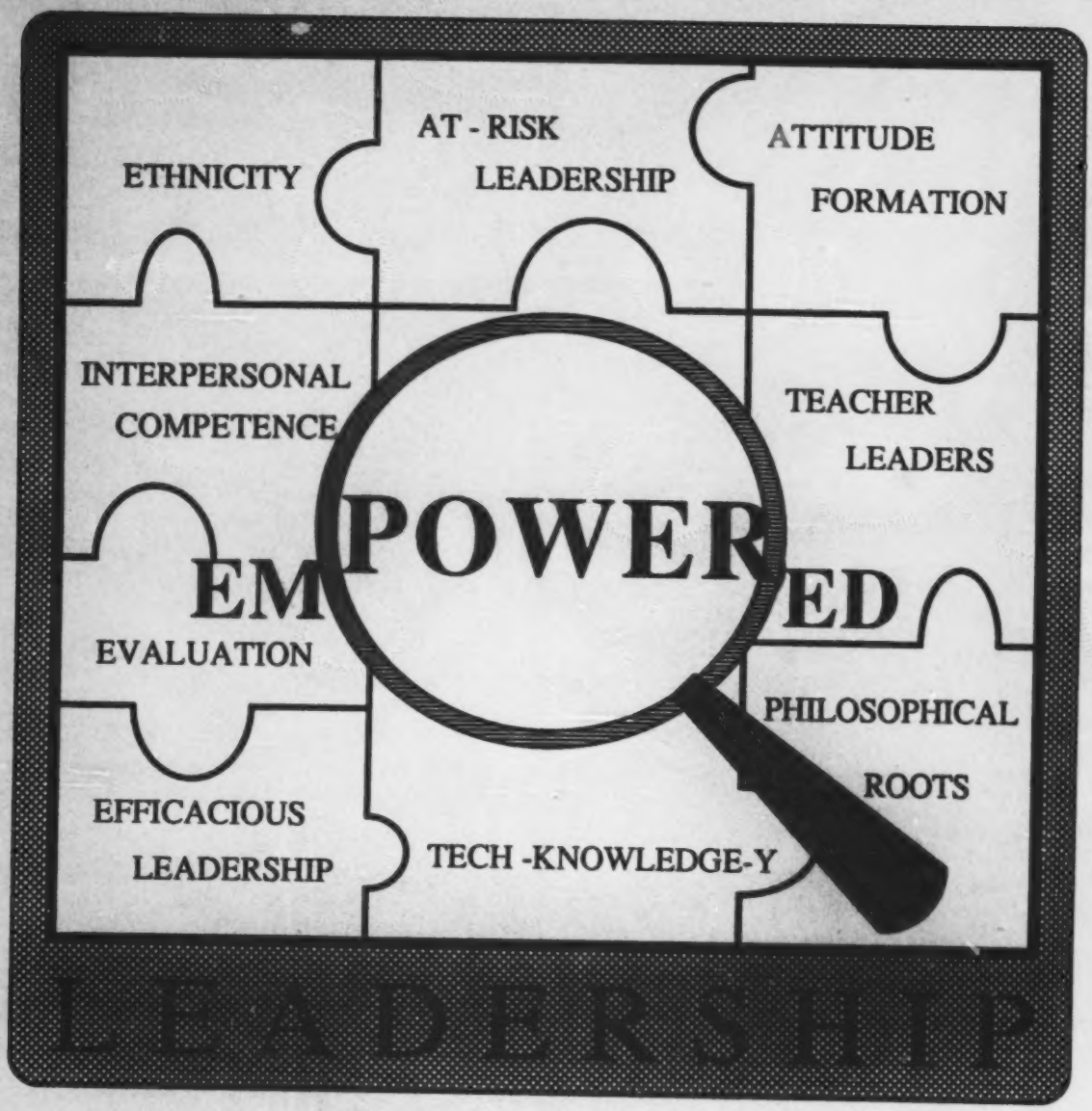

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Preface

The need for effective leadership in schools is great. This need has not diminished during the past ten years. Those years have brought, however, a plethora of commissions, reports, research and writing about schools at risk, those who lead them, and their relative decline. Comparative studies point not only to the crisis in the classrooms, to echo Silberman of long ago, but crisis outside the classroom, in industry, in research, and with America's growing lack of competitiveness globally.

To the students of leadership theory, this field of enquiry is diverse, dynamic and presents areas of real dissonance. Certainly, there is no unified field theory today for educational leadership. The student then is challenged with making selections, making applications and making personal the broad field related to leadership.

Eleven students from the geographic area near and around Southern New Mexico and West Texas, all seasoned professionals in education, all in leadership roles, have in this document presented their approach to the field. First, they have developed a strong consensus through their study that leaders must be empowered in order to be effective. Second, each writer has personalized the study of leadership from the perspective of the work each performs professionally. Their backgrounds range from adult education to the elementary principalship, from leadership management in the private and public sectors to higher educational administration. Third, each writer has developed her/his study in an atmosphere of professional dialogue, sharing discontinuities and continuities, with each other orally and in writing.

We present to our readers this document, Empowered Leadership; Effective Schools which reflects our current thinking and practice in this powerful field.

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CHAPTER 1

PHILOSOPHICAL ROOTS OF EFFECTIVE LEADERSHIP

Petrus Mahlangu

PHILOSOPHICAL ROOTS OF LEADERSHIP.

Introduction.

When do we philcsophize? We as individuals have certain beliefs about things that concern us. We have beliefs about love, freedom of speech, religion, politics, i.e. things we feel strongly about. Brameld (1956) states that philosophy is, then, inseparable from living experience. He further states that our particular philosophy is always in the background, helping to shape and being shaped by the tangible means through which we carry on our day-to-day responsibilities. It is, therefore, clear that we could not operate outside our belief system. Bartky(1956) further asserts that men are motivated by what they believe is their ultimate purpose in life as well as by the stimuli of the moment.

What we think about leadership will find its roots in our individual understanding about the nature of man. In his article "Ideology and Science in Organizational Theory", Willower demonstrates that theories tend to harmonize with some values and conflict with others, and theories may also reflect the dominant values of a culture or a time. It is, therefore, clear that a discussion of values or beliefs is appropriate as a basis for a further grasp of theories because values or beliefs are inevitably an essential element of the administrative or leadership decision - making process (Kimbrough & Nunnery,1983). This seems to suggest that if a leader is not thoughtful about the purpose and the function of education in the society, he/she may not be able to provide effective leadership in the decision - making process. Thus, values in leadership involve important considerations about the nature of truth, the nature of reality and other philosophical questions. Therefore, for the educational leader, the

manifestations of the basic philosophic considerations must be considered. It is true, therefore, that our concepts of what we accept as leadership are colored by what we believe about the nature of reality. For leaders in education, it is important to use the hard thinking of philosophy to understand and, if possible, to reformulate their leadership styles.

The purpose of this chapter, therefore, is to look at the different explanations of both Essentialism and Progressivism with regards to leadership. These two schools of philosophy will be looked at individually and will be related to the various theories of administration and motivation.

ESSENTIALISM

Essentialism is a position in the philosophy of education composed of realists and idealists. Its main tenet is that there are certain essentials which must be taught because they are known to be true knowledge. Therefore, idealism and realism are often considered together in educational philosophy under the name ESSENTIALISM. This is in part because, although their views of the universe differ radically, their views concerning the nature of truth are similar. Both of these positions view truth as immutable, permanent and unchanging (ROSEN,1968).

IDEALISM

A school of thought referred to as idealism accepts a dual concept of reality consisting of:

1. The perfect world of of ideas and

2. The imperfect world of everyday existence.

Idealists believe that true reality is in the perfect world of ideas. Immanuel Kant (1900) puts it clearly when he states that true reality is what comes from pure reason. It can, therefore, be deduced that an idealist - oriented leader would assume the two world stance. For example, if an idealist - oriented leader were to start a program that ended up failing, the failure would be ascribed not to the rationally designed model that was used, but to the irrationality of teachers, parents and others. Thus, the two part (ideal and imperfect) worlds are expressed as rational and irrational. Kimbrough & Nunnery(1983) put it clearly when they state that an idealist would say : This was a good organization but the people would not accept it. Why was it good? Because a group of our best minds got together and decided it was the best - - the exercise of pure reason.

REALISM

As indicated before, truth, reality or pure reason cannot be tested in an imperfect, unreal world. Realism, on the other hand, had a different concept of reality. The everyday, physical world is reality and exists independently of pure reason. Reality exists "out there" in the material world, with which we deal every day of our existence (Breed, 1939), e.g. electricity or fire can be discovered in this real world through the use of scientific method. Thus, the realist discovers immutable laws of nature through scientific research. Put another way, the realist believes that the physical world behaves according to

fixed natural laws which can be discovered through the instrumentally of science. Therefore, a realist - oriented leader would, through research, discover universally applicable answers about leadership. These answers would be assumed to be relevant to any organization, regardless of the conditions given and the people involved.

If one looks at Scientific Management theories and Essentialism, a certain pattern begins to appear. This will be dealt with later. According to Wiles and Bondi (1983), the concern of administrative leaders with organizational structure evolved from the managerial complexities brought on by the mechanization of industry. Relations among men and between men and machines were in transition because of increased industrial productivity and the need for greater efficiency of operation. Practice evolved to the theory stage at the close of the 19th Century and found outlet in the writings of men such as Frederick Taylor, Max Weber and Henry Fayol. These writers, Bondi asserts, approached administration and management as a scientist might, using the tools of research, measurement and analysis.

Frederick Taylor, for example, launched the study of organizational structure with his book: Principles of Scientific Management (1911), in which he advocated meticulous observation and study of the work process and reordering of organizations along functional lines. Fayol, on the other hand, contended that management was general to all human endeavors, and developed a set of principles applicable to all management activities. The most thorough analysis of these elements of structural theory was developed by the German sociologist Max Weber, who fully defined the concept of a bureaucracy . McGregor

characterized a style of administration called Theory X. This assumes a posture of distrust in viewing workers in an organization.

It would,therefore, be appropriate to try and look closely at these various theories of administration and motivation.

LINE - STAFF ADMINISTRATIVE STRUCTURE

As agents of the inherited culture, Brameld (1956) argues that essentialists stress that schools should be planned and directed by those who most authoritatively represent the economic, political and other institutions of the culture. In this deep-rooted traditional belief of the essentialists we may observe the intellectual foundation for the widespread acceptance of the "line-staff" administrative structure, in accordance with which the direction and operation of schools is modelled closely upon efficient methods of modern business (Brameld,1956). In the case of education, superintendents and other officials are vested with authority by boards of education. These officials delegate their power to principals and other lower staff officials through descending levels of authority; thereby, the policies and programs established by the governing school boards are correctly administered by staff members down the line. If the administrators are realists, they probably utilize "objective" fact finding,

testing and measuring in settling such problems as class size,

grade placement, promotion, and homogeneous grouping (Brameld,1956).

TAYLORISM

The essence of Taylor's position was that job analysis was to be used to determine each element of each job; using the empirical data, "best" methods of performing each job were to be determined and there was to be a clear division of responsibility between management and the workers, between the principal and the teachers. Obviously, the basis for such a point of view is that there is "one best way" to do each job in order to maximize worker output - - an empirically determined, universal truth, which is a product of pure reasoning by the "Great minds" as essentialists, with idealist orientations,put it (Kimbrough & Nunnery,1983). The essentialist with a realist orientation would emphasize the immutable laws of nature and scientific principles.

THEORY X / SCIENTIFIC MANAGEMENT

Taylor's insistence on getting the most out of the workers was based on the philosophy of management concept which is ably described by MacGregor, who calls it Theory X.

Macgregor asserts that:

a). The average human being has an inherent dislike of work and will avoid it if he can. Therefore, the stress that management places on productivity reflects an underlying belief that management must counteract an inherent human

tendency to avoid work.

b). Because of this human characteristic of dislike of work, most people must be coerced, controlled, directed, threatened with punishment to get them to put forth adequate effort toward the achievement of organizational objectives.

c). The average human being prefers to be directed, wishes to avoid responsibility, has relatively little ambition, wants security above all (Nolte, 1966).

BUREAUCRACY

While Taylor was focusing on the development of scientific management, Max Weber was focusing on the structure of organizations. The aim was to develop a design to enable the objectives of the organization to be accomplished with minimum expenditure of human and fiscal resources (Kimbrough & Nunnery, 1983).

Blau (1956) suggested four basic characteristics of a bureaucracy.

i) A hierarchy of control

ii) Impersonality

iii) A systems rule

iv) Specialization

In a bureaucracy rational or legal authority "resting" on a belief in the "legality" of patterns of normative rules and the right of those elevated to authority under such rules to issue commands is the most relevant. The hierarchy serves to assign and validate such authority (Blau, 1956)

The work division concept was also central to Luther Gulick's theory of organization. Gulick reasoned that if work division was essential in organizations, coordination was mandatory. He therefore, advanced a number of other ideas like span of control, unity of command and a system of departmentalism. The leader, because of limits of time, energy and knowledge, can personally supervise only a few subordinates. These subordinates must supervise others, who in turn supervise others, until each person in the organization is reached (Kimbrough & Nunnery, 1983)

When notions of a hierarchy of authority, span of control, and a unity of command are taken collectively, Kimbrough & Nunnery argue that the result is a pyramid-type organization. Authority is lodged at the apex of the pyramid, and the lines of authority run directly from the top to the bottom of the organization.

SUMMARY

In spite of the insistence by some educators that the concepts intended to maximize the productivity of workers were more applicable in production organizations than in service organizations, such as education, some of the notions advanced by Taylor and others found expression in educational organizations. In fact some of the early education scholars appeared to be avid followers of Taylorism.

It is, therefore, interesting to note that these theories of administration are manifestations of what Essentialism as represented by Idealism and Realism say about reality and truth.

ESSENTIALISM	THEORY
Realism:Immutable laws of nature are discovered through scientific research.	Taylorism: Advocated scientific study of the work process of organizations.
Realism: Reality behaves according to fixed natural laws which are universally applicable.	Fayol : Management is general to all human endeavors--He attempted to uncover general principles of organizational management.
Idealism: Reality consists of a perfect world of ideas	"Best Minds" of Taylor, Fayol and others decided what was best for

- True and lasting knowledge is a product of pure reasoning by "Great Minds".	the organization.
Idealism: The everyday world of existence is imperfect. imperfect, unreal world of existence.	Max Weber's bureaucracy ignores people - People are in the
Idealism : Division between mind and body. The mind is perfect -- the body is imperfect.	Taylorism : Division between manager and workers. Manager uses mind -- worker uses hands.

PROGRESSIVISM

The single most influential philosophy of education in America for well over a quarter of a century has been progressivism. It has won the support of more outstanding theorists than any competing philosophy, and it has affected practice on every level, from nursery school to adult forum. Progressivism has been and still remains a vastly important point of view that is enriching, exciting, and controversial. No teacher and no citizen who is earnestly concerned with the schools of America or of the world can ignore or pass lightly over this philosophy and what it means for culture and education in the twentieth century (Brameld,1955).

The philosophic term popularly used to characterize this outlook is: Pragmatism. To the Pragmatist the world is incomplete and undeterminate. The world of things is real; however, there is constant evolution. Reality is what emerges from the interaction of a person with the environment (Kimbrough & Nunnery, 1983). The Progressivist would approach leadership in relation to existing conditions and projection of future changes. A fixed and final world of ideas or laws of nature from "out there" is unacceptable just as universal principles of leadership are unrealistic. Therefore, emphasis would be given to "what works best" in terms of the objectives of the school system. Rosen (1968), further argues that Progressivism states that truth can be known only through its practical consequences and is thus an individual or a social matter rather than an absolute.

Pragmatists, therefore, think of people as purposeful and in interaction with this everchanging world. Thinking persons, according to the Pragmatists, construct reality through interaction with this everchanging world. William James, Charles Sanders and John Dewey are the best known Pragmatists.

Thus, unlike Essentialism which ignored people, Pragmatism placed emphasis on people and their importance in organization. A Pragmatist - oriented leader would, therefore, consider human relations as important in organizations.

CULTURAL INFLUENCES

Brameld mentions four most significant cultural influences upon progressivism. These are:

(i)The industrial revolution

This term here will be used to mean the era of modern economic change extending from the decline of feudalism to the rise and maturation of capitalism. Progressivism reflected the full impact of industrial revolution upon men's habits and attitudes. They, (Progressivists) have stressed the consequent modern growth of vigorous self - confidence among men, as contrasted with the previous widespread sense of futility and weakness before natural forces (Brameld,1955). The Progressivists have been sensitive, too, to the necessity of liberty and independence in a system based upon competition. They also have emphasized the new sense of power over natural forces that accompanied the exploration of the earth and the development of machines (Brameld, 1955).

ii)Modern Science

The chief significance of science to Progressivism lies in the method science provides for men to adjust to their environment. It is a method that seeks to meet the difficulties continually arising in the course of such adjustments not by placating fearful and awesome powers, not by appeal to authority or dogma, but by scrupulous examination, explanation, and control of the factors in each situation.

iii)The rise of democracy

The Industrial Revolution and modern science both speeded the advancing ascendancy of democracy. The young competing economy had to be unbound

from the chains of the medieval church and state. It needed political arrangements guaranteeing maximum freedom to the rising middle class.

iv)A favorable cultural environment.

The Industrial Revolution, modern science and democracy, none of these influences could fructify without a favorable cultural environment (Brameld,1955).

TRANSITIONAL ADMINISTRATIVE THEORY

A theory of leadership compatible to the above mentioned influences had to be devized. Kimbrough and Nunnery(1983) state that Transitional Administrative Theory focused primarily on people and their relationships in organizations.They(Kimbrough & Nunnery,1983) also argue that the "aim" was value- laden and the central thoughts related to what "ought" to be the place of persons in an organization that is a part of a democratic society. This philosophic orientation was complemented, however,. by the goal of understanding, explaining and predicting human behavior and interactions based upon empirical investigations.

The genesis of the transitional era is found in the empirical work of Elton Mayo under whom the now famous "Hawthorne studies" were conducted. In these studies, the researchers could find no clear relationship between illumination and worker productivity (Kimbrough & Nunnery,1983). This led to the notion that factors other than physical ones might have a significant impact on worker performance.

Mary Parker Follett (1868-1933) further contended that any enduring society or organization must be based upon a recognition of the motivating desires of the individual and of the group and that all organizational problems were fundamentally human relations problems. Therefore, the single dominant theme was that administration was basically concerned with the building and maintenance of dynamic, yet harmonious relations. (Kimbrough & Nunnery,1983).

Maslow, (1943) further, postulated that a person's needs were hierarchical and that "higher-order" needs become motivators to the extent that "lower-order" needs become satisfied. One's lower - order needs relate to physiological and safety needs, e.g. need for food, water, sleep and, security etc. One's higher - order needs are psychosocial, e.g. need for love, affection, status and self-fulfillment. Maslow further postulated that lower - order needs are never permanently satisfied. They manifest themselves periodically if one is deprived.

Maslow's Hierarchy of Needs seem to have influenced the work of Mcgregor (1960), who advanced Theory Y as an alternative to Theory X, where he noted that a satisfied need is not a motivator. Some of the assumptions of Theory Y are as follows:

i)The expenditure of physical and mental effort in work is as natural as play or rest. Therefore, the average human being does not inherently dislike work.

ii)External control and the threat of punishment are not the only means for bringing about effort toward organizational objectives. Man will exercise

self-direction and self-control in the service of objectives to which he/she is committed.

iii)Commitment to objectives is a function of the rewards associated with their achievement. Rewards such as satisfaction of ego and self-actualization needs can be direct products if directed toward organizational objectives.

iv)The average human being learns, under proper conditions, not only to accept but also to seek responsibility.

v)The capacity to exercise a relatively high degree of imagination, ingenuity and creativity in the solution of organizational problems is widely distributed in the population.

vi)Under the conditions of modern industrial life, the intellectual potentialities of the average human being are only partially utilized (Kimbrough & Nunnery,1966).

Kimbrough & Nunnery(1983) state that the transitional era movement, which began with an emphasis on treating employees in a humane manner, affected educational leadership on two fronts. First, there were efforts to democratize the practice of educational administration. Concepts like Administrator as promoter of staff - harmony, administration as a service, participation in decision making, group granted administrative theory, social science methodologies and enhancement of individual satisfaction were common.

CONCLUSION

It can, therefore, be argued that Essentialist - oriented leaders are basically conservative in education. They do not concern themselves with what "ought" to be but they are mostly concerned with preserving and adding to the body of organized truth they feel has been accumulated. In a period when there was little need for leadership research, this type of philosophy may have been adequate. But lately,many educators feel that leadership in education is a creative endeavor, constantly looking for new solutions to new problems.

On the other hand, Progressivist - oriented leaders would argue that the school and the whole process of education should be an instrument of social change and social improvement. Not only should students be helped to learn factual materials, they should also deal with social problems.

The primary implication of the discussion in this chapter is that educational leaders should act thoughtfully. To prepare for thoughtful administration is to read and think deeply about the nature and source of knowledge or truth, the relationship of truth to the nature of reality, one's personal values, and the consequence of one's values and beliefs for action (Kimbrough & Nunnery, 1983).

Hodgkinson contended that, since the administrative process is value - laden with significant impact upon organizational quality, the administrator/leader should have knowledge of value superior to that possessed by ordinary persons. Ostrander and Dethy also emphasized knowledge of one's value system. To act thoughtfully, then, is to monitor continuously what we are doing and how we are doing it, where we are and why we are there; and we must consider the consequences of our decisions and actions.

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CHAPTER 2

LEADERSHIP/EFFECTIVE SCHOOLS= A DIFFICULT EQUATION

Charlotte Craigo

There has been extensive research on school effectiveness and the role the instructional leader plays in orchestrating an effective school. Some studies are emphatic that certain leadership qualities or competencies are necessary to promote effective schools, while other studies present conflicting or even opposing views. The purpose of this chapter is to examine the difficult equation that exists when determining the ratio (amount and kind) of instructional leadership required to establish an effective school. The key to this equation is effective use of POWER. In this chapter, selected effective school research is reviewed in terms of the instructional leader's application of power management in accomplishing the goals of an effective school. Topics include: power through organizational goals, communication for commitment to purpose, power plans--programs that work, powerful leadership and the Power Management Model. The reference to use of power proposed in this chapter is derived from the text, Power Management: A Three-Step Program for Successful Leadership (Brewer, et al., 1984).

In this chapter, the principles of power management are entwined with the instructional leader's role in implementing an effective school. Brewer and associates define power as follows:

> **. . . the force by which events, people, and organizations are changed. With this definition, we can understand that organizations, things, or people must, as a natural process, push against obstacles**

> **and make constant adjustments to the environment as needed. The use of force to make changes is the essence of power (p.4).**

An instructional leader's use of power will enhance efforts to promote the change necessary for school improvement. In order to support the preceding statement, the following compilation of ideas on school improvement and power management will be explored and expanded throughout the chapter. First, when the improvement efforts rely on collegial management, power structures within the school change. Teachers who may have felt powerless become more confident that they, as a team member, have the personal power to improve student learning, the school environment and home/school relations. Personalities and interactions of teachers, students, parents and administrators result in shifts of power bases. Personal power can fluctuate with resulting changes in the environment. Finally, the instructional leader who does not recognize the effect of power on management is ignoring a possible key to achieving school goals and may even impede the accomplishment of those goals.

Power Through Organizational Goals

Principals of effective schools provide leadership by establishing a sense of purpose and direction through well-developed and clearly articulated goals (Dutterweiler, 1988). In order to have power to promote organizational goals, the instructional leader must be cognizant of what constitutes an effective school before goals can be formulated to create such an organization. How do a principal and the staff know what goals to promote and how does the administration gain power to promote the goals? Basically, the entire staff must have a common understanding of what constitutes an effective school. According to the Connecticut

Department of Education, which sponsors state-wide school effectiveness projects, an effective school is one in which the proportion of low-income children achieving basic skills proficiency does not differ from the proportion of all other children achieving basic skills proficiency and in which all children are performing above a certain achievement level (Pecheone and Shoemaker, 1984). What this means is that all children should perform well and that there is no discrepancy between the achievement levels of low-income and all other students.

Knowing the definition of an effective school provides the instructional leader with an organizational goal. Increased achievement for all students is the ultimate goal. This goal must be communicated to all staff members. However, communication of the goal is not enough to ensure accomplishment. There will be many sub-goals with corresponding strategies which need to be addressed in order to accomplish the main educational goal. Among those are political and personal goals which need to be recognized, such as aspirations of staff, salaries, efficacy, meaningful workplace and sense of belonging (Brewer et al., 1984). Add to those the goals of students, parents and the community; competing goals magnify and interfere with the original goal of the instructional leader. A series of complex sub-goals operate within an organization which can compliment or conversely interfere with the vision of an effective school.

Communication: Commitment To Purpose

The staff, students and community must see the same vision. The leader shares the vision with the staff and others, first through communication and then by soliciting support to transform the vision into a reality. Brewer and associates state, "Effective communication is at the very heart of power management. The leader who is intelligent,

talented and a good problem solver can fail because of poor communication" (1984, p.101). Problems and solutions must be conveyed to personnel in a convincing manner. In an effective school the staff must be influenced to teach not just at minimum performance levels but to teach to their maximum potential. The compelling problem or goal for an effective school is to increase achievement levels for all students. The principal must recognize that not all teachers view this as a possible goal. For that reason, it is extremely important to communicate to staff the research findings which led to the effective schools movement and the subsequent research on programs which validate the notion that all students can learn despite cultural disparities.

Controversial Study

Two purposes would be served by communicating research similar to that listed below: one is to create a common knowledge base, and two is to persuade the faculty that the goal of teaching all children to learn is attainable.

The philosophical belief that all children can learn represents a significant departure from the thinking in the 60's. In 1966 Coleman published a report for Congress entilted, "The Equality of Educational Opportunity Study." This study concluded that schools have little impact on student achievement. The determinant for a student's achievement was the student's socioeconomic status (SES) (Lezotte and Passalacqua, 1978). If this statement were true, education should not be able to overcome social and ecomomic limitations placed on learning. This and other studies referred to by Lezotte (Jenson, 1969; Moynehan and Mosteller, 1972; and Jencks, et al., 1972) painted a bleak educational future for a large number of students. Researchers and educators interested in

improving educational equity began looking for evidence that schools can positively affect student achievement despite socioeconomic status. Logically speaking, if Colemen was correct, researchers should not have been able to find high achieving schools in low socioeconomic areas.

Background Research

A broad range of studies revealed that schools did exist in low socioeconomic areas where student achievement was high. Researchers looked for common threads or characteristics which separated these schools from their lower achieving counterparts. A brief description of selected studies follows.

Weber studied seventeen inner-city schools. Four schools were identified in which reading achievement in the early grades was at the national average or above. He concluded that these four schools had eight factors in common not usually present in "unsuccessful" inner-city schools. These factors were strong leadership, high expectations, positive school atmosphere, strong emphasis on reading, presence of a reading specialist, use of phonics, concern for each child and careful evaluation. The importance of Weber's study was that students from low socioeconomic areas were succeeding. The success factors listed in this study were later validated by subsequent research (Weber, 1971).

The Detroit Model Cities Neighborhood Study of 1974 was based on research conducted on a random sampling of 2500 students from 20 schools to determine the students' reading and mathematics achievement levels. The study revealed that high student achievement levels were found in variety of social backgrounds (Edmonds, 1979).

In another study, Madden, Lawson and Sweet (1977) compared twenty-one pairs of high/low achieving schools in California. They

concluded that in an effective school, there is a strong principal who supports the faculty, teachers are task oriented, students are monitored and the atmoshphere is conducive to learning (Brookover, et al.,1982).

Brookover and Lezotte (1977) examined data collected by the Michigan Department of Education that identified "improving and declining" schools based on student achievement. Six improving and two declining schools were studied in depth to identify factors which influence student achievement. The study ascertained that improving schools emphasized basic skills, teachers believed all children can learn, the principal was an instructional leader, the schools used assessment data to improve learning and the staff was not satisfied with poor performance (Brookover, et al., 1982). Studies such as those listed above provide evidence to weaken Coleman's theory relating low socioeconomic conditions as the primary factor for low achievement. Persuading teachers to believe that they can make a difference in improving student learning is the key to school effectiveness.

Powerful Plans - Programs That Work

It takes more than just getting the faculty to agree to an ideal or goal to increase learning for all students. The effective instructional leader must analyze, develop and implement plans that work. Teachers must not only buy into the plans but also be guided to ensure success. A staff can gain insight by reviewing research on implementation plans which have been proven successful.

Studies of Success

The following synopses are offered to provide the reader a sampling of some of the studies of successful effective school programs. An instructional leader and a staff interested in implementing such a program would need to scrutinize these and other programs for implementation strategies which would be appropriate for their unique organization.

In 1979, the Milwaukee School Board administration developed a plan to improve student achievement in eighteen schools identified as the lowest achieving in the district. Project RISE (Rising to Individual Scholastic Excellence) was developed based on effective schools characteristics. Inservices were developed for teachers and administrators focusing on effective school research, high expectations and direct instruction. Teachers at these schools worked collectively to plan strategies to improve student learning. There was a sense of professional efficacy, as teachers became involved in the school decision making process. The project was evaluated in 1985. Several schools had shown exceptional gains in student achievement. The implications from this project are that a staff working together can make a difference in terms of student achievement (McCormack-Larkin, 1985).

Jefferson County, Kentucky, Public Schools initiated a project in 1982 based on an inservice manual written by Brookover and associates, Creating Effective Schools (1982). Ten elementary schools volunteered to participate in a collaborative, school-based staff development project designed to increase student achievement. Despite a variety of constraints such as little time for preplanning, lack of pretraining for principals, and limited resources, standardized reading and math test

scores improved significantly over those of the rest of the district. A promising note from this project is that schools can improve under less than ideal conditions (Miller, et al., 1985).

Since 1981, the State Department of Education in Connecticut has sponsored and assisted school districts to implement school effectiveness projects. Implementation is divided into stages which consider change theory. The improvement programs are based on a campus-based needs assessment. Procedures are established for faculty members to use in addressing identified prioritized needs. School improvement plans are written in terms of actions to be accomplished. An Executive Summary Report written in 1984 stated that principal commitment and support is extremely important for project success. It further concluded that the project provided a medium for school change that is not present on most campuses (Pechone and Shoemaker, 1984). Connecticut's initiative in the arena of school improvement has been recognized and emulated by other states and local school districts.

The El Paso Independent School District in Texas commenced school improvement efforts in 1984. The project was based on a model developed by the Connecticut State Department of Education. Twenty-two schools were phased into a school effectiveness project during the years 1985 to 1987. Analysis of the steps in three year project implementation cycle revealed that information, training, structure and sufficient time are crucial factors in commitment (from parents, students, staff and community) and subsequent relevant change. Jackie Morgan, principal of Lee Elementary, stated that it took almost a year to develop a mission statement. She went on to say that it took time to get input from students, staff and parents; however, it was well worth it. The task of

laboring over content and correct phrasing had a unifying effect on the school. Everyone connected with the project began looking at education from the same perspective. Teachers from several other schools in the school effectiveness project expressed similar feeling about unity. Campus based inservice sessions on effective teaching and high expectations gave teachers a shared knowledge base to use in improving student learning. Using this and other information, faculty improvement teams followed explicit implementation procedures to initiate school improvement. Principals said that the project gave legitimacy to the notion of asking for teacher assistance in solving school problems (Craigo, 1988).

The Mastery In Learning Project, NEA's response to school improvement, focused on collegiality. The twenty-six faculties that participated reviewed extensive research on effective teaching, studied other improvement projects, sharpened their decision making skills and implemented site-based improvement activities. As a result of the project, faculties now view leadership as a shared responsibility based on competence (McClure, 1988).

Leadership Power

In terms of school effectiveness, researchers have done extensive studies focusing on the importance of instructional leadership in establishing effective schools. Instructional leaders interested in increasing their own effectiveness can review sources from within the educational and managerial fields. Three studies of managerial styles are reviewed below.

A "critical-incidents" interview, developed by McClelland, was used by Huff and associates to examine leadership qualities of administrators

in Florida. Seventeen administrators were recognized as high performing and fourteen as average. Eight characteristics were identified as belonging solely to high performing principals, while four were considered common to both groups. The specific competencies or characteristics were sense of control, commitment to school mission, monitoring, ability to recognize patterns, perceptual objectivity, analytical ability, concern for image, participatory style, tactical ability, persuasiveness, commitment to quality, focused involvement in change, coaching skills, and firm enforcement of quality standards (Huff, et al., 1982).

The U.S. publication entitled, What Works, Research About Teaching and Learning, contains a section which summarizes research on effective principals. The introductory statement reads, "Successful principals establish policies that create an orderly environment and support instruction" (Bennett, 1986, p.50). Further comments about successful principals can be summerized by stating that they promote a vision, strive for school improvement, scrutinize practices to assure time for instruction, develop strategies for teachers to participate, provide opportunities for teachers to improve their skills, support learning, create a safe learning climate and develop community support (Bennett, 1986).

From a different leadership perspective, Deal (1987) viewed the school as an organization where the leader must react to various groups who are constantly negotiating and bargaining. He said that successful leaders provide mechanisms or structures for various subgroups to successfully resolve conflict. The school culture is organizational traditions, norms, values and beliefs that hold the school together. This culture is susceptible to conditions outside the school as well. Thus, Deal

expanded the definition of an instructional leader from that of a person who performs certain tasks to one who is reactive to environment.

Management Theories

Management theories are reflected in the above educational studies. For example, Huff (1982) lists personality traits such as commitment, objectivity, analytical powers, and persuasiveness. The justification for developing the above list containing personality characteristics can be traced to trait leadership theory which is based on the premise that effective leaders possess certain traits which which make them great. The problem is that researchers cannot agree on a list of identifiable traits, the manner in which they can be transferred to other individuals, or even if they are transferable.

The report compiled by the U.S. Department of Education is presented in terms of behaviors effective leaders perform such as protecting instructional time, walking around visibly and developing community support. This report was written from a behavior theorist viewpoint. A principal's action is directly influenced by leadership behavior style. Leadership behaviors, according to Bogerdus, can be classified into four styles: autocratic, executive, democratic and reflective. His work still has a strong influence on leadership management training (Brewer, et al., 1984).

The third effective leadership study referred to earlier by Deal can be viewed as contingency theory. Deal concluded that an effective leadership operates in an ever changing organization where the personnel and culture are determinants. Contingency theory, credited to Fiedler (1967), proposed that leadership effectiveness is situational. One leader might do well under given circumstances, while that same person might

be totally ineffective in another situation. Brewer (1984) and his associates stated:

> **It is evident from the research that leadership depends on the individual personalities of the leaders and followers, the leadership style or behavior being used, and the circumstances (contingencies) around a given task (p. 29).**

Leadership theories such as those above have established a foundation for many leadership models. Brewer and associates developed a Power Management Model which is based on the three major fields of study in leadership: trait, behavior and situational theory. Brewer's model will be presented as a framework for an instructional leader to use in making better decisions for school improvement.

The Power Management Model

As stated earlier, The Power Management Model considers the situation, individual peronality traits and leadership behaviors. The underlying assumption is that the leader and employees have the authority to exercise control. Even though there are constraints, the leader and workers can consider strengths within the organinization and within the individual to improve the situation, increase knowledge and develop skills.

Environment

The first consideration addressed is the situation or the environment. Initially, during the awareness stage of implementing an improvement project, instructional leaders operate in a persuasive/interactive environment. The leader is trying to pursuade the staff to commit to a common goal (Brewer, et al., 1984, p.43). If commitment is not gained, the administrator has a difficult task to tackle

independently. Alone, the instructional leader does not have the time to create plans or support needed to implement them. Other daily concerns steal precious time away from school improvement efforts. The principal's day is spent addressing an enormous number of short tasks, which may average to less than five minutes per activity (Peterson, 1986). Brewer (1984, p.43) labled this type of environment Active/Competitive. The leader is reacting to change in the environment through crisis management. Anyone who has been in a school setting knows crisis management is a daily task which can only be reduced by proactive management. Thus through systematic cooperative planning, improvement strategies can be established to reduce the need to react by creating plans to prevent problems from occurring. By doing this the instructional leader and the staff help create an environment conducive to change where people work together.

Certain conditions and environments are more resistant to change. The Willing/Steady type environment occurs in an organization where tasks are completed automatically, day-to-day routines are followed, and schedules dictate the structure (Brewer, et al., p.44). This is a stable environment where individuals are satisfied with the status quo. Change needs to be planned gradually so as not to upset the routine operations in an organization or disturb the employees' feeling of competence. This is why knowledge and training are so important. In fact, training needs to be comprehensive, extensive and on-going. Facilitators of change need to arrange the training for all involved: teachers, administrators, supervisors, and clerical staff (Hord, et al, 1987). If not, the Willing/Steady environment will interfere with the efforts of the instructional leader and school improvements teams instead of operating

in harmony with other environmental conditions.

Personal Power

Implementation of school improvement projects requires faculty input and participation. Both administrators and faculty members need to possess certain amounts of personal power in order to cooperate, participate and support school goals. Personal power, as defined by Brewer and his associates, is the ability to influence others based on skills, knowledge, expertise and the capacity to get along with peers. It is independent of power associated with organization status (Brewer, et al., 1984, p.56). By being aware of personality types and using that knowledge to make decisions, faculty members gain more personal power. If personality is not considered, individuals will lose instead of gain the personal power needed to carry out plans and improve instruction.

Brewer and associates developed a chart (Figure 1) describing the wants and needs of four personality types. The "wants" portion of the chart refers to the characterictics of each of the personality types: Bold (B), Expressive (E), Sympathetic (S) and Technical (T). A teacher with a bold personality would want challenge, freedom, power and quick change. The "needs" sections refers to the adjustments that need to be made in order for the individual to work more productively. For example, a teacher (B - Quick to react) who is a member of a school improvement team, may be in a hurry to get the ball rolling. If too impatient, he or she may not be considering all the angles which could affect the entire school or other faculty members. The instructional leader would need to help pace the group and establish structures whereby the teacher would have to listen to others and consider the details necessary for long range planning.

Knowing a teacher's personality type would also help in the following situation.

Consider a plan that calls for computers to improve student achievement. Some teachers would be enthusiastic (B - Challenge) while others resentful (T - Little risk). Note the implications for staff development, for teaming possiblitities, as well as the potential for conflict. If effective instructional leaders and faculty members take what works from successful programs and consider personality needs (personal power) in developing strategies to implement school improvement plans, they then gain more power in their quest to increase student achievement.

FIGURE 1. Wants and Needs of Personalities.
(Brewer et al., 1984, p. 65)

The Model

In this segment of the chapter, the information presented earlier on power will be combined to form the Power Management Model (Figure 2). Explanations of the model will include references as to how an instructional leader can use power to implement school effectiveness improvement projects. The model incorporates the use of environment, personal power and leadership behaviors to increase effectiveness (Brewer, et al., 1984).

The three dimensional model considers:

1. Position, referring to circumstances or environmental conditions. The position determines the approach used by the leader in various environments such as in the Active/Competitive or Persuasive situation. If an instructional leader is in the position of leading in an uncertain environment, with complex tasks or untrained staff, then a higher degree of persuasion and supervision is required.

2. The motivation for leadership behaviors ranging from completion of organization task to promoting human relationships. Task driven behavior and human relationship behaviors exist on a continuum from high to low, thus creating four quadrants. When teachers are familar with the materials and have the skills needed to complete a task, the instructional leader would use low directive behaviors.

3. The examination of personality by the leader which considers an individual's wants and needs. A group of Expressive (E) teachers may be highly trained but they can spend hours trying to influence and persuade each other how to accomplish the given task. Either the composition of the group needs to be changed or the leader needs to be more directive.

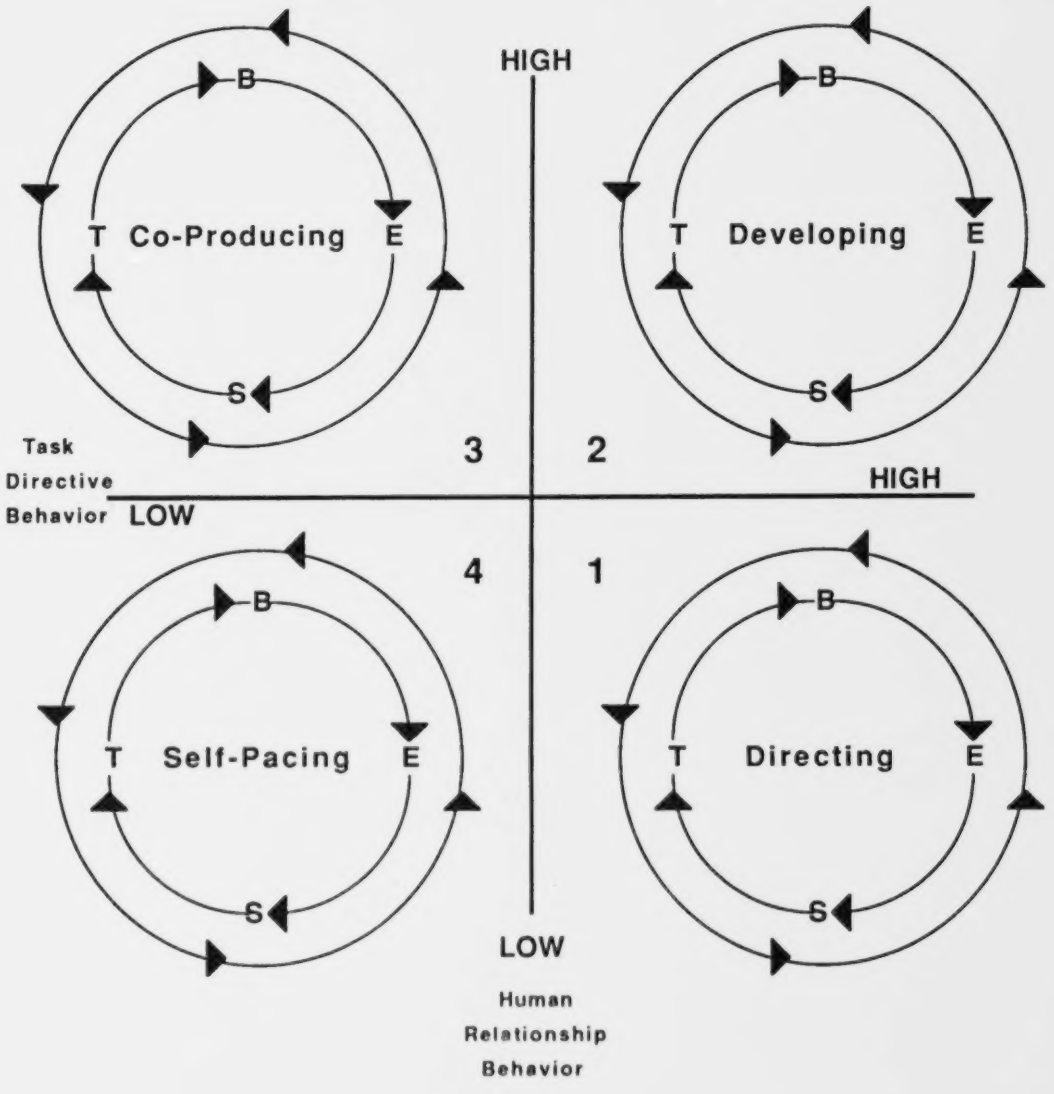

FIGURE 2. Power Management Model.

(Brewer et al., 1984, p. 85)

Use of the model requires the leader to use a different mode or style of leadership in each quadrant. The four leadership styles are Directive, Developing, Coproducing and Self-Pacing (Brewer et al., 1984). Implementation of an school effectiveness project requires that the instructional leader use each of the leadership styles.

Directive (Q1). The leadership behavior required is directive, with a high degree of supervision. The leader needs to tell the worker what to do and how, when and where to do it. In the initial stage of implementing an effective schools project, the instructional leader will need to explain in detail the specific role of each faculty member, train faculty members, delineate the steps in the project and assist the group in developing timelines for completion. In providing training for faculty members, activities should consider individual personalities for maximum effect. A leader would benefit from using a directive style with a school community unfamiliar with school effectiveness goals or with one that is resistent to change because they like the status quo. Initially the directiveness would be in the form of communicating the goal of the program and reacting to the various personality and power needs. An instructional leader who ignores the parents' needs and wants is doomed because a supportive home/school environment is crucial in an effective school.

Developing (Q2). The leader operating in this management mode is interested in task completion as well as developing positive human relations. The leader is training the employee to take on more responsibility by delineating the how, when, what and where as well as the why of a completing a task. The leader is a mentor who fosters two-way communication but still makes the decisions.

In an effective schools project, the instructional leader would be using a developing style when assisting faculty members to conduct a campus needs assessment. The principal would need to guide the staff in identifying campus needs in terms of the characteristics of an effective school. Once those needs have been prioritized, the instructional leader needs to serve as a facilitator and assist a faculty improvement team to develop a plan to address a single priority need. The leader, using human relations skills, teaches the faculty how to develop action plans. In essence, the leader is preparing faculty members to work in quasi-quality circles.

Coproducing (Q3). Coproducing is the term used for this quadrant because the employees are capable of contributing to the decision making process. They have the information, training, motivation, and resources to complete a task. Quality circles are based on a coproducing approach to management. Brewer and associates state that many firms have failed to achieve organizational and human goals because the employees lack preparation and training. The leader interested in participatory management needs to use leadership styles which are (1) directive and (2) developing before coproducing will be effective.

The instructional leader operating in a coproducing mode needs to allow faculty members to share in the decision making process. The administration and faculty improvement teams collectively solve indentified campus concerns or goals. The instructional leader becomes part of the team. If the administration is giving "lip service" to the staff's ideas and solutions to the problems, then the effective school efforts will fail. The faculty will develop a sense futility, mistrust and even resentment for the administration.

Self-Pacing (4). A leadership style in the self-pacing quadrant is based on the leader's ability to step back and allow the employees to complete tasks independently, The leader has confidence that the workers have the knowledge, skill and experience to present plans, solutions or completed tasks which will meet with management approval. The key is trust and confidence.

The instructional leader operating in this mode has already trained the faculty to operate independently. It may take several years before the staff has enough experience to evaluate their improvement efforts and adjust plans according to new school data and testing data. At this stage of implementation, the effective schools efforts become institutionalized.

Conclusion

The Power Management Model does not dictate one best leadership style or one best way to perform. It certainly is not a cure-all to ensure effective leadership. However, it deserves consideration by the instructional leader who is interested in gaining collegial power to implement school improvement projects. The element of power (Brewer, et al., p.41) can be integrated with school improvement efforts in creating more effective schools. With this in mind, instructional leaders should consider the following:

1. The degree of uncertainty in the environment as it relates to identified concerns or improvement plan goals.
2. The degree of complexity of strategies used in improvement plans.
3. The ability and training of staff members: knowledge of effective schools research and characteristics, familiarity

with effective teaching practices, development of facilitation and group decision making skills.

4. The amount of information accessible to staff members on academic achievement, attendance, disaggregated standardizied test scores, discipline, etc.
5. The amount of resources available: materials, money, human support, etc.
6. The time available to plan and implement strategies.
7. The motivation of staff, students and community to promote a shared vision.
8. The personalities of individuals involved.
9. The structure for communication, development and evaluation of improvement efforts.

In conclusion, instructional leaders embarking on improvement efforts to create a more effective school need to look at techniques which can be used with a variety of personality types and vary the techniques according the circumstances to gain power to create effective schools through collegial management. The students, faculty, and the community need training and information to be knowledgeable about the school's strengths and campus concerns. Those involved in formal participation, members of school improvement teams, need to consider personality types and organizational goals when planning improvement strategies. Personal power bases need to be developed so that faculty members gain confidence in making decisions which result in improved student achievement. Distributing power increases the instructional leader's power since one individual, singlehandedly, cannot efficiently or effectively tackle the complicated task of school improvement.

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CHAPTER 3

INTERPERSONAL COMPETENCE IN EFFECTIVE LEADERS

Sandra Lee

Many writers have emphasized the role of what are sometimes called "people skills" in the day-to-day functioning of instructional leaders (Wolcott, 1973; Peterson, 1978; Gronn, 1983). Principals in particular are required to deal with and influence a wide range of personalities in the course of pursuing their job-related duties.

In order to accomplish their ends, principals need to become effective in the area of interpersonal competence. The concept of interpersonal competence was originated by sociologists Nelson N. Foote and Leonard S. Cottrell, Jr. (1955) and enlarged upon by Argyris (1962) and Weinstein (1969). It refers to an individual's capability in eliciting desired responses from other individuals and groups. A principal's effectiveness in dealing with staff and superiors often seems to be in direct proportion to his or her interpersonal competence (Greenfield, 1987). The question, of course, is this:

Do effective leaders display high amounts of interpersonal competence? That is what this chapter seeks to explore.

In order to delve into this question, it becomes necessary to look at the components of the concept of interpersonal competence. Foote and Cottrell (1955) break it down into the following: health, intelligence, empathy, autonomy, judgment, and creativity. All of these need to be present in order for the individual to display high interpersonal competence. It would be enlightening to analyze the presence of these components in principals who have been judged by their peers to be "effective" and who have been written about in various case studies (Foote and Cottrell, 1955). If each of the components is present, the individual must be judged to have high interpersonal competence; since these principals have already been selected for their effectiveness, there is no need to examine them for that trait.

HEALTH

The first component to be examined is that of health. According to Foote and Cottrell's (1955) definition, what is meant here is not merely "absence of disease," but overall ability to function physiologically -- "good physical health" (Foote and Cottrell, 1955). It seems clear that an individual's ability to function as a principal would be severely

impaired by the absence of "good physical condition." Fatigue, for example, can undermine a person's functioning to such an extent that it will elicit responses from others different from those which might have been expected by the principal in question (Foote and Cottrell, 1955).

Let us look at some effective principals and see whether they seem to exhibit the component of health. Dwyer et al.(1984) examined five principals as they went about their daily business. Although their individual styles were very different, every one of these principals exhibited, not just good health in the ordinary sense, but energy, endurance, and robustness, the types of characteristics cited by Foote and Cottrell (1955) as demonstrative of health. Indeed, after reading through the case studies, one can scarcely see how a principal could function without this type of health, since all of them seem to move about their schools and in some cases, their cities, a great deal.

This is equally true in the case of Grace Lancaster, the principal of Emerson Junior High School (Lee, 1985). She is a very mobile, visible principal who spends a great deal of time interacting with others. In order to accomplish this on a daily basis, Lancaster must clearly possess a good deal of energy and vigor, which translates into health as Foote and

Cottrell define it. Clearly each of the principals would have to be considered healthy according to the literature of interpersonal competence.

INTELLIGENCE

The next component we shall examine is that of intelligence. The literature on interpersonal competence places emphasis upon such things as "scope of perception of relationships among events; the capacity to abstract and symbolize experience, to manipulate the symbols into meaningful generalizations, and to be articulate in communication; skill in mobilizing the resources of environment and experience in the services of a variety of goals" (Foote and Cottrell, 1955, p. 53). The definition of intelligence has long presented problems, but if we examine principals' behaviour in light of the above concepts, we may approach a workable idea of what constitutes intelligent behavior. Some aspects of this definition, such as "the capacity to abstract and symbolize experience," will obviously be difficult to observe. It seems, therefore, that we must stick to that part of the definition which we can observe or deduce from outward behavior, such as "to be articulate in communication."

Looking again at the five principals observed by Dwyer, et al. (1983), let us see if we can find evidence of intelligence in the case studies. Jeffrey

Hudson, principal of McDuffy Elementary School, definitely displays a perception of the relationships among events when he observes that attention to individual students' problems pays off in improved academic performance. Since he is dealing primarily with what he calls "street children," there are many problems which need attention, and Hudson's special programs recognize this reality. He demonstrates his ability to be articulate in communication by talking individually to students and also to members of his staff, with whom he seems to share an excellent rapport. In fact, Hudson tends to give credit to his staff more than to himself for the successes which have occurred at McDuffy. As for mobilizing the environment and his own experience in the service of various goals, he is clearly able to do this. Hudson is able to delegate authority in such a way as to insure the smooth functioning of McDuffy Elementary School's day-to-day programs. He also uses these staff members to help him in the execution of his long-term plan, which includes "raising low achievement scores, reducing fighting among students, increasing cooperation among the staff, enhancing community pride in the school, and improving the building plan" (Dwyer et.al, 1983, p.18). Based on these and other behaviors, it would be fair to conclude that Hudson is an intelligent man.

The next principal examined in this series of case studies was Harold Mann, principal of Field Elementary School. Again we see a man who clearly perceives the relationships among events; he feels strongly that his students' disadvantaged home lives contribute to the obstacles they face in learning. On the other hand, he feels that providing minority role models for his students, most of whom are black, will encourage them to achieve at higher levels by demonstrating to them what is possible. Mann also demonstrates an ability to be articulate in communication in an unusual way by insisting on "order, cleanliness, and neatness" throughout the school as a way of communicating stability and discipline not only to students and staff, but also to outsiders who may visit Field (Dwyer et al., 1983, p.25). Another instance of articulate communication is the method by which Mann makes clear to teachers his expectations about the way that they perform their jobs.

> What I'm talking about is that they care enough to teach the kids; that's what I mean by care. (Teachers) insist that they learn, they prepare; they have well planned lessons, and they see to it that children learn the material that is presented to them (Dwyer et al., 1983, p. 26).

Mann is a clear and forceful communicator who has distinct expectations and the ability to express them to students, staff, and superiors. In addition to his communication skills, Mann displays skill in mobilizing

resources in several ways. He is a man who is very active in the community. He is a member of several organizations: Optimists, Big Brothers, and the Field Community Association; he also is a very active member of one of the local churches. When assistance is needed for students or their families, he is adept at arranging for help through one of the organizations in which he is active. He also has a great deal of parent participation at school functions in return for his own participation in the community (Dwyer, et al., 1983). Thus we see that Dr. Mann should be considered an intelligent man according to the criteria set forth by Foote and Cottrell (1955).

Next we will consider John Royce, principal of Valley Stream Elementary School. Royce, too, displays a good perception of the relationships among events; he places great emphasis on norm-referenced tests such as the CTBS and in order to encourage student improvement on such tests, he has developed a program at the school which "stresses achievement, basic skills, and student behavior"(Dwyer et al., 1983, p.34). The results of the testing show that this program is successful in meeting Royce's goals. He displays his communications skills in two ways; in informal settings he is relaxed and humorous. When giving a formal presentation, however, Royce is impressive and comes across as skilled and knowledgeable. When it comes to mobilizing

resources, Royce is equally capable, partially because of his communications skills. He has managed to take advantage of a number of state and federal programs which improve the quality of instruction at Valley Stream. He has also set up something which he refers to as the "Principal's Program," wherein he zeroes in on one overall area each year which requires improvement; these programs invariably require the cooperation of staff and/or parents, which he has no trouble obtaining (Dwyer, et al., 1983). Royce, too, must be considered to be intelligent.

Martha Delling is the principal of Boxer Heights Elementary School. She has managed to institute an open-door policy at the school, allowing both staff and students easy access to her office and herself. She feels that if she "has her finger on the pulse of the school" (Dwyer et al., 1983, p.43), she will be better able to maintain an orderly environment. Indeed, the playground of the school reflects this, as children play together "with a minimum of conflict" (p.43). She has been able to perceive the relationship between her own managerial style and student behavior. Her communications skills are apparent from the moment students arrive; she greets many of them by name and interacts well with them. Similarly, she interacts with each teacher and encourages what she perceives to be good quality instruction. Delling has managed to

mobilize the whole school into participation in a district program for improving instruction. She has influenced her staff to wholeheartedly utilize the new skills being taught in this program, and has been commended by the district (Dwyer, et al., 1983). Martha Delling, too, meets the criteria for intelligence.

The last of the five principals treated by Dwyer et.al is Gregory Alexander of Lincoln Junior High School. He also seems to have a good perception of relationships among events. The school's test scores recently dropped from above those of the other junior high to several points below them. Alexander considers this due to a district reorganization which caused major staffing changes at his school. The case study also states that Alexander has the ability "to see the whole picture, the many sides of issues that arise, and to deal with these in his planning and decision making" (Dwyer et al., 1983, p.51) Alexander's communication skills seem to lie in setting up plans and guidelines for programs which he wishes to implement without alienating staff members or students. His mobilization skills are an outgrowth of his expertise in group processes; his School Side Council, which is made up of community members, students, and school staff, is the primary supporting body in implementing Alexander's

plans (Dwyer et al., 1983). Clearly, Alexander also meets the intelligence criteria.

In looking at Grace Lancaster (Lee, 1985), we also find a principal who meets the intelligence criteria. Lancaster, who is principal of Emerson Junior High School, displays a good perception of the relationships among events. Emerson offers a broad electives program which Lancaster believes is "one key to keeping students interested and involved." She also feels she helps teachers to maintain positive relationships by encouraging staff activities such as Christmas parties and end-of-the-year parties. In terms of communications, Lancaster seems to have the talent of being able to relate positively to each individual she encounters, whether they are students, teachers, or parents. She is aided in this by an excellent memory which she utilizes in storing facts about each person. In mobilizing resources, Lancaster uses her superior people skills to gain and maintain the support of her staff. She also uses these talents to fight for Emerson's teachers and programs, often with success (Lee, 1985).

EMPATHY

Thus we see that all of the principals are blessed with both health and intelligence. Let us move on and examine the component of empathy. When Foote and Cottrell speak of empathy, they do not mean it in the

usually accepted sense of the word. What they mean is "taking the role of the other" (Foote and Cottrell, 1955, p.54), or being able to put oneself in another's place in order, as Weinstein puts it, "to assess accurately the other's definition of the situation" (1969, p.758). The purpose of this, of course, is to present one's ideas in such a way that the other will be influenced to accept one's own views and assessments of a given situation. Weinstein (1969) feels that empathy is possibly the most important trait contributing to an individual's interpersonal competence. He theorizes that the ability to empathize gives a person the capability of predicting another's reactions to a given situation. Once able to accomplish this, an individual can, in theory, manipulate the reactions of the other in his or her own favor (Weinstein, 1969).

The internal operation of empathy is virtually impossible to measure. Its outer manifestations, however, might be measured by looking at a principal's one-on-one relationships with students, teachers, and others. We could safely assume that principals who arouse feelings of loyalty and support in those around them have done so through the operation of empathy.

In each one of the case studies we have looked at, the principal in question is spoken of as having good parent support, knowing the children's names and

problems, and having good relationships with his or her staff. It would be safe to assume, then, that all of these principals possess the attribute of empathy.

AUTONOMY

The next component mentioned by Foote and Cottrell is autonomy. Again the term does not mean exactly what it would in everyday speech. In this case, it means having an internal locus of control rather than an external one; that is, a person with a high degree of autonomy has a clear concept of his or her own identity and makes decisions based on internal values and beliefs rather than on external pressures.

Each of the principals looked at has a high degree of internal locus of control. All of them have strong values and beliefs which guide their decisions as much as possible; several of them, however, are subject to external pressures which affect certain actions, such as their hiring practices. None of the principals who lives with this situation is happy about it; Jeffrey Hudson, in fact, has distinct strategies for trying to avoid hiring undesirable teachers. John Royce's district suffers from a shortage of funds, which means that he must seek additional funding sources for supplies and textbooks. He also suffers from external pressures in the area of norm-referenced testing which is required by the district. Martha Delling has managed to turn her participation in the instructional

improvement program into a bargaining chip which allows her to exercise considerable independence in other areas. Gregory Alexander, like Jeffrey Hudson, suffers under district-mandated staffing constraints (Dwyer et al., 1983). Grace Lancaster is unable to obtain a particular teaching aide whom she feels she needs, and she cannot help when a teacher objects to having two small classes combined into one large one; in other areas, however, she seems to be able to make decisions based on what she feels is right rather than on external pressures (Lee, 1985).

Most of the principals would prefer fewer external pressures; however, given the type of organization in which they are involved, all seem to display a considerable amount of autonomy.

JUDGMENT

The next component, judgment, seems closely related to the previous one. Clearly, all of the principals exercise judgment in many different areas each day. Foote and Cottrell define judgment as "the ability which develops slowly in human beings to estimate and evaluate the meaning and consequences to one's self of alternative lines of conduct" (1955, p.56). It seems obvious that merely by occupying the position of principal, one is required to exercise judgment. Indeed, the day-to-day activities of these

people seem almost to be constituted of an unending series of judgments.

CREATIVITY

The last component, creativity, seems to be present also in each of our principals, although differently expressed by different individuals. Martha Delling, for instance, has been very creative not only in introducing an instructional improvement program into the school, but by using her participation in this program to gain other goals. Grace Lancaster seems to express creativity in her approach to certain situations and in her respectful treatment of individuals, which served as a model for those working under her. Harold Mann shows a creative approach in dealing with the isolation which usually goes along with the position of principal (Dwyer et al., 1983; Lee, 1985).

Taken overall, our principals all seem high in every component considered necessary for interpersonal competence. In addition, they all display great success in accomplishing the primary outcome of interpersonal competence: getting others to do what they want without alienating them. It seems safe to assume from these case studies of effective principals, all of whom display interpersonal competence, that most effective principals are, in fact, high in interpersonal competence.

CONCLUSION

In examining the concept of interpersonal competence, we have seen that Foote and Cottrell (1955) originally divided this concept into six components: health, intelligence, empathy, autonomy, judgment, and creativity. We have looked at the day-to-day functioning of six individual principals in light of these six components, finding most of them present in each principal. If we accept Foote and Cottrell's components, then it seems that we must recognize the fact that each of these people is high in interpersonal competence. It seems a logical conclusion, then, that effective principals are interpersonally competent.

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CHAPTER 4

ATTITUDE FORMATION: THE ROLE OF THE INSTRUCTIONAL LEADER

Frank Thayer

Current research is split between the view that instructional leaders can be the formative influences on the schools in which they work (Cohen, 1982), and the idea that principals and other leaders are basically organisms in the environment who are more conditioned by their surroundings than they are conditioners of those around them (Hallinger & Murphy, 1987).

Whichever of these points of view emerges as the most accurate portrayal of the effect of the instructional leader, it is certain that any person in a position of leadership will strive to maximize effectiveness and be as instrumental as possible in promoting positive attitudes in the instructional environment.

If, as Little & Bird (1982) wrote, the principal is the gatekeeper to school effectiveness, then it is necessary to consider what the principal does to promote that effectiveness.

In examining the activities which leaders engage in to create effective school environments, Fullan (1982) says that communication becomes a trademark of instructional leadership. This article seeks to define the importance of communication techniques, including the importance of establishing the symbolic environment of the school, the use of nonverbal communication, discussion of verbal communication styles and the use of information management, all of which are aimed at promoting

positive attitudes in staff and students at any school.

In observing instructional leaders at work, researchers have categorized their behaviors and found that the most common activity relative to instruction was communicating (Lee 1987, p. 95). Some go so far as to say that communication is the trademark of educational leadership (Fullan, 1982 p. 168). The same ideas are expressed by Wimpelberg (1987). Communication is obviously important to any organizational function; even Gen. of the Air Force Curtis LeMay, was quoted as saying that, without communications, all he could command was his desk (Adler & Rodman, 1978).

Still, instructional leaders, be they principals or classroom teachers, may underestimate the power of the communication environment in shaping the affective attitudes of the co-workers and students.

Hennessy (1985) divides the affective geography of people into beliefs, values, attitudes and opinions. While beliefs and values are relatively fixed, interrelated and difficult to change or manipulate, attitudes are a relatively enduring organization of beliefs around an object or situation predisposing one to respond in some preferential manner (Rokeach, 1968), which puts attitudes firmly within the affective realm and, to a large degree, within the control of the instructional leader.

I. Control of the Symbolic Environment

Deal (1987) is unequivocal in stating that belief and faith are anchored in symbols and ceremony. Research has also

progressed to show that the types of symbols or signs chosen may have a profound effect upon the attitudes of the viewers (Austin, 1971; Thayer, 1988).

Some instructional leaders may find that their symbol choices are limited by established tradition or by cultural pressure but it is instructive to examine how the principal at one high school placed an overwhelming emphasis upon the symbolic environment during the first year of the school's existence.

Onate High School

Carl Montoya had the unique opportunity to be hired as the principal of Onate (pronounced OWN-YAH-TAY) High School before the new school was scheduled to open in Las Cruces, New Mexico, for the fall semester 1988.

Montoya describes himself as a "creative and hyper personality" who has sought to hire others of the same profile to build a school identity in the shortest period of time. The results, according to Montoya, are that the school achieved, in its first year, a cohesiveness and sense of identity that would normally require 3-5 years (personal communication, March 16, 1989).

Montoya said that he considered symbols his number one priority when he began planning for the fall 1988 opening of Onate High School and that he felt the choice of a mascot, colors, school song, uniforms and other accouterments took precedence over the more traditional concerns of launching a new school.

At a time when the high school's potential students were

attending two other area high schools, and when the attendance boundaries had yet to be set, Montoya was planning the symbolic environment of a new high school.

If Deal's observations (p. 231) are correct about schools serving as hubs of political activity, then Montoya was in his element. He spoke before every service organization, spent time with students at athletic events and dances, appeared on every media talk show in the area and, overall, was thinking of symbols.

"Kids are visual," Montoya said, and he asked a national yearbook and class ring company to share their information concerning the symbols of 50-60 other New Mexico high schools before putting the matter of colors and mascots to a vote among students at the then-existing high schools in the city.

From the choice of black and silver as school colors and the image of Knights as school mascot, Montoya's campaign to produce a psychological reality to the school before it opened resembled an advertising or public relations campaign complete with buttons, bumper stickers and baseball caps, all of which could be seen sprouting throughout the community well in advance of Onate High School's opening.

Six months after opening its doors to 900 students, the symbols of knighthood were already institutionalized at Onate. The new National Honor Society chapter adopted a "knighting" ceremony for its members and heraldic drawings were prominently displayed on the walls of the main office complex. A suit of armor also stands in the foyer of the office complex.

While concerned with curriculum, Montoya correctly assumed that his new faculty would be anxious to take the responsibility of developing innovative ideas which would fulfill state and district guidelines and more. In addition to empowering the new staff with responsibility for a major task, this left Montoya free to concentrate on the inner life of the school as expressed in its symbols.

The results were substantial; by March 1989 the small trophy case in the school office, which was to last for at least three years, was already overflowing with athletic awards, cheerleading trophies and band plaques before the school had been open for an entire year. Montoya credited the unusually prolific first year achievements to the sense of identity which students and faculty felt from their first days at Onate High School.

If it can be surmised from the Onate experience that signs and symbols, along with the ceremonies celebrating them, are central to the life of a school, then it follows that a principal who capitalizes on the visual attention of students and staff through the aggressive display of new or traditional images and colors of the school will gain dividends for the entire school environment.

While few principals will have Carl Montoya's opportunity to begin a new tradition, the reinforcement and consecration of existing symbols with new meaning can positively affect the attitudes of all school members. Where old symbols are not functional, principals can consider transforming symbols in much the same way that corporate entities alter corporate logos or

advertising trademarks (Thayer, 1988 p. 439). A balance must be maintained between traditional symbolic values which have instant recognition, and new images which are charged with psychological energy related to the cultural realities of the people in the school.

The symbolism of the school, the teacher and the principal is pure communication in itself. The presence of the principal in the hallways, the presence of school colors, the decoration of classrooms, all perform an important function in setting the tone for attitudes of everyone in the school. Communication with students or teachers taking place in an appropriately symbolic setting which serves as a reminder of the overall attitude climate appropriate for the school will be more effective than the same communication taking place in the absence of these signs and symbols.

II. Nonverbal communication

Mehrabian (1972) distinguished nonverbal communication as a difference between explicit and implicit behavior, and researchers since then have enlarged the realm to include now-familiar terms such as:

Proxemics

Touching behavior

Paralanguage

Kinesics

While all leaders are aware of some aspects of nonverbal communication, most would benefit from a review of some basic

postures and displays which immediately communicate confidence to large numbers of people.

Proxemics

Proxemics is the study of the use and perception of social and personal space (Knapp, 1980). Because schools tend to be high density environments, it is not possible to control crowding but the instructional leader has the option of making use of personal space and conversational distance within offices and classrooms.

At Onate High School, Montoya consciously arranged his office with the desk against the far wall so that it would not be a barrier to anyone who entered; this arrangement is common enough for counselors but not for administrators. This results from studies such as that of Howell and Becker (1962) who asserted that seating arrangement had much to do with leadership emergence. The principal can, however, make a strong statement with furniture arrangement within the office.

The effective leader knows how to vary personal distance as well. Most transactions or interviews will be either casual-personal or social-consultative, with the former being from 1 1/2 to 4 feet, while the latter is from 4 to 12 feet (Hall, 1959). Positive interactions are more likely to occur at the casual-personal distance while disciplinary actions would be more effective at the social-consultative distance.

Touching Behavior

Closely allied with proxemics is touching behavior, a very sensitive matter in a high density environment. Many researchers

have studied the protocol of touching from handshakes to hugs (Henley, 1977; Willis and Reeves, 1976; Frank, 1957, Fisher, Rytting and Hesllin, 1976; Jourard and Rubin, 1968) but all agree that touch is a powerful tool for leadership as is witnessed in politics where "pressing the flesh" can mean votes.

At Onate High School, the principal says that he is an unabashed handshaker and back-patter, particularly with students, though he is careful to deal with faculty and staff much more in accord with what their individual preferences seem to be.

Of several categories of touching behavior listed by Knapp (p.154), the categories of social-polite, primarily handshaking and friendship-warmth, a more personalized recognition of individuality which can encompass many types of touching exclusive of those actions approaching love and intimacy, are the primary tools. The instructional leader may discover that expanding acceptable touching behaviors may be useful in gaining cooperation and compliance from students and staff in the school environment and also encouraging more effective communication throughout the school.

Other research, such as that of Morris (1971), warns that excessive self-touching may reduce the credibility of people. Such actions as hand over mouth, scratching, rubbing, picking, and body hugging can indicate insecurity at times when the leader is responsible for setting the agenda for communication transactions.

Paralanguage

Paralanguage, or the study of how things are said as opposed

to what is said, has been categorized by Trager (1958) and deals with inflection, emphasis, the use of connectors such as "um" or "ah". The successful leader is perceived as talking more often and more fluently (Adler & Rodman, 1985 p.224) than other members of a group. This does not mean that leaders are perfect speakers; most listeners expect a reasonable number of nonfluencies in all conversations other than formal speeches. The good leader sounds like the members of the group but with decided strengths in verbal skills.

Kinesics

The overall effect of posture, gestures, facial expressions and eye movement is difficult to overemphasize, and, people place particular reliance on facial cues when making interpersonal judgments (Knapp, 1981 p. 161).

Today, certain aspects of body language are common knowledge and researchers, such as the classic work by Birdwhistell (1952), recognized and categorized the postures and gestures which were communicative. Nonverbal expressions of insecurity and withdrawal may inhibit the leader in the principal's office or the classroom from asserting the levels of dominance needed to be effective with subordinates.

Eye contact and glance control are paramount in establishing leadership and engendering positive attitudes with co-workers. Rodman asserts that eye contact is a sign of involvement whereas looking away signals a desire to avoid contact (Adler & Rodman, 1985 p. 106; Gregory, 1987, p. 285). Instructional leaders share

the need of salesmen, entertainers, public speakers and chiefs of industry to stimulate involvement and cooperation on all levels; steady gaze and firm eye contact remain one of the most effective tools for achieving this end.

Body movements are another controllable aspect of nonverbal behavior which can have an effect on attitudes. Research has shown that liking is distinguished from disliking by such general behavior as more forward leaning, closer proximity, the openness of arms and legs, more direct body orientation, postural relaxation and more touching (Mehrabian, 1972). The same research suggests that gestures, such as arms akimbo, are more used when interacting with disliked persons than with liked persons.

As distance between the communicator and the audience is increased, or the number of listeners increases, such as during school assemblies, gestures become increasingly important. Watching professional speakers and evangelical performers can give clues as to how openness and strength is expressed from the podium. Raised arms, display of the palms of the hands, extending the hands toward the audience or surveying the audience with a pointing finger can reap affective dividends if combined with strong verbal content.

III. Verbal Communication Styles

Communicating both messages and the presence of the institutional figurehead makes up the majority of the day for Carl Montoya of Onate High School. His own perception of his role is mirrored by Lee's observations of a principal's primary

activities (1987).

In both cases, frequency of communication is the salient feature of the communication process. Arnold sees one of the major goals of oral communication as the establishment of source credibility (1987) and she lists several of the factors which have been proved as measures affecting source credibility in the speaker (p. 44). These include sex, age and physical size of the source as well as the perceived social status of the speaker.

Reis (1988) concentrates on other areas of effectiveness for the educator/communicator, emphasizing the importance of being a good listener, avoiding educational jargon, seeking clarification from individuals making statements or asking questions, and communicating with "respect and concern" (p.83).

In communication, effective leaders naturally employ distinctive verbal techniques. One of the major techniques is centering conversational awareness on the other individuals in the conversation including liberal use of the other people's names and holding a "you" centered conversation as opposed to an "I" centered conversation.

Gregory (p. 259) and others suggest the choice of words in speaking which are simple; short words are better oral devices than are long ones. Concrete words which have a direct connection to sights, sounds, taste and touch are more stimulating than are abstract terms. References to precise names, dates, places are more effective than are general terms.

Combined with positive nonverbal activities, attention to basic verbal skills can help the teacher or principal accumulate

better source credibility and be more effective as a communicator. If communication is the most prevalent activity of the instructional leader, then attention to the details of oral communication style can pay more dividends than the study of any other aspect of the leader's job.

IV. Information Management

While the term "information management" may be preferred to the traditional term "propaganda", the practice is often underestimated in its effect on attitudes of personnel in a working environment. Ellul (1962) asserts that propaganda is our culture (emphasis Ellul's). He suggests that propaganda is needed for the exercise of power (p.121). While Ellul is primarily concerned with the political environment and, while his use of terms may make educators uncomfortable, an astute instructional leader will immediately recognize that every school has several tiers of information dissemination which are, by Ellul's definitions, propaganda.

Katz and Kahn (1978) recognized three communication directions in any organization--downward, upward and horizontal; the instructional leader can encourage the form of upward and horizontal communication but can only control that which is disseminated downward. This communication initiative may be a formative element in the affective realm of the instructional environment and can substantially aid the acceptance of a chosen process, raise the level of cognitive gain and validate the administrative structures within the school.

The means of influencing attitudes is often done through

capitalizing on existing communication traditions in effective schools, or in attempting radical structures in less-effective environments, such as the style of Principal Joe Clark in New Jersey (TIME, Feb 1,1988). Clark's baseball bat is reminiscent of the almost-mythological Bufford Pusser of the movie "Walking Tall" who renounced firearms in favor of the big stick. Clark's bat has a symbolic propaganda value and exemplifies a communication style.

Those instructional leaders who fail to recognize school spirit as propaganda-maintained can learn a lesson from the students who habitually perpetuate the myths of the school.

To change, reinforce or support attitudes within the school requires attention to all aspects of the communication environment.

Lee (1987) and others have shown the multiplicity of events which comprise the principal's day. Maintaining contact with as many staff members and students as possible each day is always beneficial to the school. Montoya of Onate High School says that it is important for him to go to the athletic practice fields late in the afternoon after most of the staff have gone home, even if only for a few minutes, to be in touch with what school members are doing.

Information management is the craft of using verbal and written communication to best effect in any environment. Setting the proper tone in memoranda (Dentson, 1986), establishing effective newsletters, maintaining a schedule of personal contacts with all staff members, all can improve a weak school

attitude and strengthen a positive attitude.

One of the most difficult parts of a school staff member's life tends to be the flood of memos which sprout in their mailboxes every day. Carl Montoya says that he tries to keep these to a minimum and would prefer to get things done by oral request, saving written reminders for the last ditch; however, in his new high school, the staff is still manageable and the student body still small enough to retain the personal style.

Avoiding negative reactions to memoranda is possible and such communication is an extremely efficient means of reaching large numbers of people in the shortest period of time. In 1987, Shirley Kuiper addressed students of business communication and summed up style choices (p. 308-309) along four continua:

Forceful	Passive
Personal	Impersonal
Conversational	Formal
Colorful	Lackluster

In the category of Forceful-Passive, she reminds writers to use active voice, personal pronouns, short sentences and a confident tone.

Under the Personal-Impersonal category, she says to use names and personal pronouns, contractions, personal references and direct questions where appropriate.

To enhance the Conversational versus the Informal aspect, she recommends the use of short words, including contractions, colloquial expressions and even occasional incomplete sentences.

For Colorful over Lackluster writing, she says that vivid

modifiers, fresh metaphors and similes, and active verbs are the key to avoiding dull writing.

Because memo writers usually write in private, and consequently sense a distance from their readers, they often fall back on impersonal writing styles that they would not use in their oral communication. When it comes to staff communication, formal writing should give way to a personal style of writing designed to create affinity rather than distance.

Memos, like any other form of communication, should have variety in content. Some principals use memos only for unpleasant tasks, preferring to use personal contact for praise and encouragement; the inclusion of positive information such as informing the school of successes or honors which might not otherwise receive full publicity, will increase the readers' interest in memoranda, which are too often just another chore to attend to. Further, written confirmation of individual or school successes are more durable than intercom announcements and word of mouth.

Like Carl Montoya, most principals would rather have an alternative to memos; but, written communication to staff and bulletin board notices to students are a continuing reality and the impressions communicated by these pieces of writing will have a subtle and continuing effect upon the attitudes of staff and students unless these impressions are contradicted or reinforced by personal contact with the instructional leader.

External Information

Too many leaders presume too much from local newspapers,

radio and television outlets. While coverage is often initiated by the mass media, the most successfully publicized school will regularly inform the media of events, honors, changes, new programs and other superlative notices. Many school districts employ public relations professionals to channel information to print and broadcast media, but it is the responsibility of the school leaders to make certain that every event which might be of interest is reported promptly and with enthusiasm.

While most schools are treated well by their local media, school leaders may find it advantageous to supplement this coverage with their own publications. Onate High School established a student newspaper and began their first yearbook in the opening days of the school but Montoya thought it necessary to go further, and he instituted a newsletter to district residents which began publication several months before the school opened.

Some editors describe their newsletters as "circulating billboards" (Newsom & Scott, 1985, p. 233), and positively organized school news will find a ready reading public in the community whose good will, in turn, affect the attitudes of students and staff at the school.

The reservoir of volunteers who are necessary for today's broad spectrum of school activities can be effectively recruited through community newsletters, and larger school districts often have newsletters which are directed to the corps of volunteers in the community.

At Onate High School, Carl Montoya has instituted

certificates of appreciation and brochures explaining the mission of the new high school were prepared in advance of the opening and are liberally spread throughout the community in addition to newsletters and other promotional items.

Conclusions

It is incumbent upon school leaders to make maximum use of behaviors which can have a positive effect upon their educational environments. While some forces in the environment may shape the leader's activities, the attitudes of co-workers and students can be positively affected, with a consequent rise in productivity and potential for excellence.

An examination or re-examination of the symbolic environment of the school, with attention to energetic, meaningful colors, mascots, rituals and music, can instil a sense of pride which will carry over into the performance of the school's mission. Further, a living symbolic environment can give the participants of a school a greater sense of meaning, thus adding to their feelings of being participants rather than subordinates in the mission of the effective school.

Research has further shown that attention to communication techniques can have a positive effect upon the attitudes of people and can lead to an empowerment of all individuals in the environment.

Many communication techniques can be improved through awareness and practice. Nonverbal communication tends to be an unconscious process which, when made conscious, leads to more effective positive interaction; similarly, verbal techniques can

break down the barriers separating leaders from staff members, faculty and students.

In addition to personal communication, more effective use of information management can lead to positive attitude shifts both within the school and in the communities which the schools serve. Attention to effective memoranda, internal and external newsletters, school newspapers, yearbooks produces dividends in attitude enhancement. Leaders cannot afford to ignore the use of mass media to publicize school activities and directions; the effective leader can, with proper public relations expertise, direct the media spotlight toward the school. The consequent effect of good information management is to increase staff and student loyalty and pride, as well as enhancing community confidence in the school.

Overall, the instructional leader cannot devote too much attention to the symbolic and communication environment of the school, an environment in which the leader does have the power to influence to the betterment of the school and the attitudes of those who depend upon it for growth and sustenance.

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CHAPTER 5

TECH-KNOWLEDGE-Y: A BASIS FOR LEADERSHIP

Dennis Roberson

TECH-KNOWLEDGE-Y: A BASIS FOR MANAGEMENT

Programs built around the wise use of instructional technology may be the most pervasive structural and curricula-focused educational designs currently being implemented in educational institutions. Unfortunately, most models deal with the technology of hardware and skirt issues of content application which educators, beginning or seasoned, may find more applicable.

While journal articles and presentations on new educational technologies frequently list the how and where to gather information about technologies, it is often unclear how this information may be applied to the world outside the administrative hall. This chapter will review the basis, process, advantages and pitfalls facing an educational administrator who attempts to organize and implement a system utilizing new educational technologies.

In addition the prescriptive nature will also give valuable insight from an administrative perspective, and hence knowledge about the subject. It is this knowledge about the subject, coupled with the reader's knowledge of their own environment, which will help them determine their own need and level of technological innovation.

Knowledge about technology will help administrators implement the technological solution into their power base, and may expand and enable management's ability to support teacher empowerment programs through technological problem solving processes.

Frequently the implementation process is viewed as technology-driven decision making, which perceives decisions as being made solely to support technology. If the decision maker can part from this view of technology being another burden to bear, it is possible to view technology as another tool to add to the bag of tricks in the professional's toolkit.

BACKGROUND

Technology has been referred to as "the level of scientific and technological advancement in society, including the physical base (plant, equipment, facilities) and the knowledge base of technology, and the degree for which the scientific and technological community is able to develop new knowledge and apply it" (adapted from Edwin Gerloff, 1985).

Gerloff (1986) describes technology as an instrumentality of the organization itself. In this sense technology is defined as the manner in which organizational work gets done. Used in this context, technology is at the core of the transformation process. That is, it deals with how the organization's main service or product is produced. From an educational administrative viewpoint, the product is the student.

The latest outbreak of national concern over the nation's educational system, precipitated largely by "A Nation at Risk", has legislators and the public alike clamoring for competency based education. Because of these increasing public pressures and climbing school enrollments, school administrators are turning in growing numbers to various technology-based educational systems (Tyre, 1989, p.17).

TECH-KNOWLEDGE-Y: A BASIS FOR TEACHER EMPOWERMENT

Over the past several years, many educators have become strong advocates of the use of new technological innovations, particularly the computer. This has created yet another milieu of "old vs. new" and has provided both sides of the innovator-vs.-laggard fence another focus of disagreement.

When computers first became economically feasible for schools several years ago, it was predicted that they would revolutionize school curriculum. However, reality inside the classroom has not borne out this prediction.

Lounge and Walker (1988) say the major cause for this lack of effectiveness of computers and related educational technologies in the classroom is the attitude held by school administrators, teachers and parents that computers possess some magical quality requiring only the close proximity of students for a significant increase in learning to take place.

Lounge and Walker (1988) point out what experts in curriculum have known for years: The magic is in the teacher, not in the computer or in any other major piece of educational technology. The intuition of a master teacher cannot be replaced by a computer. Instead, the computer must be viewed as a tool in the hands of the teachers and administrators for effective and powerful curriculum development.

Naturally, administrators need to keep their schools in step with the outside environment while giving teachers freedom to direct curriculum in the classroom. Horror stories of teacherless classrooms where humans are lorded over by all-knowing, self-repairing mechanical "intellects" have done much to hinder the teacher-with-technology approach.

In order to truly be effective, "teachers must become empowered in ways that will enable them to make more efficient use of their skills and talents. Modern information processing technology can contribute to teacher empowerment" (Lounge and Walker, 1988, p.30).

These researchers say it is imperative that the school administrator work with teachers to modify the system to allow for the system to most effectively harness the power of the emerging educational technologies without allowing them to drive the system. They must be servants of the effective teacher, not masters.

THE FACT FINDING PROCESS

At times, administrators may be particularly skeptical of claims concerning the advantages of high-tech teaching tools. Most administrators operate under time restraints which prevent them from collecting their own information, yet they desperately need information and advice, pro and con, concerning proposed educational technologies, the adoption process, the effect on the teacher and the students, and the possible teacher/administrator conflicts.

Many administrators rely on district level planners for advice because they are experts in research and evaluation methods. In addition to the traditional educational journals, trade publications, and books, these experts will no doubt turn to new specialized channels of communications specifically involving educational technologies.

For example, recently a new telecommunication system has been established called UNCLE (UNC Link to Educators) It promotes continuous dialogue, collaborations and support and sharing between teachers and school administrators. It also offers a formalized method for developing coordination between the university faculty, the classroom teachers, and the parents through two-way electronic mail and networking.

Lounge and Walker (1988, p.32) give a possible situation where a first year teacher who is having difficulty getting a certain concept across to her students. She calls UNCLE and leaves a request for suggestions from a specific curriculum expert at the university as well as a general request for suggestions from other teachers on the system. A few days later, she finds suggestions from both the specific specialist and several teachers across the country.

STRUCTURE

If selected as a structural imperative, a structure in which to accomplish work criteria, technology becomes one mandate under which there are a number of options for work patterns. Certainly, by accepting the advantages, there are tradeoffs in the process. Technology, then, not only encompasses the hardware used to solve problems, but types and patterns of activity, and knowledge or experience as well.

According to Gillespie and Milleti (1977), two trends can be identified in the literature concerning technology and organizations. One trend is represented by body of literature which concerns itself with the effects of technology on the user's behavior and attitude. The second trend centers on literature which deals with how structure is affected by technology.

The structural aspect and the consequent concerns of educators when attempting to adopt the technological imperative in the organic situation of administrating for education is the usual hingepin of adoption.

The implications for structure and design are major constraints on the design process of any teaching core. If the administrator adheres to one technology, or group of technologies, the design process of the teaching continuum will be determined by the amount of structure dictated by the technology. This doesn't sound like the freeing, problem-solving panacea which most technological innovations claim to possess.

POWER STRUCTURES INVOLVED IN TECHNOLOGY ADOPTION

Change attempted at any level is a product of power of some type. Adams (1975) and Bachrach & Baratz (1970) defined power as the ability to influence flows of the available energy and resources toward certain goals as opposed to other goals. Five types of power were categorized by French and Raven (1968): 1) reward power; 2) coercive power; 3) legitimate power; 4) referent power; and 5) expert power.

It is the last of these, an incentive-based positive power which directly encourages and draws the user to the source, which Gerloff says "may be used by A to influence B if B sees A as having relevant knowledge and expertise" (1985, pp. 172).

In order to implement a technological solution in a system the participants must envision their leader as having expert power. The role of the principal in technology includes additional training in the application of technology to instruction and resource development (NASSP, 1984). The principal must be a source of knowledge as well as an evaluator.

SPECIAL SKILLS NEEDED BY THE ADMINISTRATOR

The administrator must be a consumer of technology in order to generate "expert" power and be a respected problem solver. Because most educational technology programs cut across curriculum areas, the manager of the environment must have "expert" power, that is power which is the result of respect for another individual's expertise.

A PROPOSED MODEL FOR TECH-KNOWLEDGE-Y

Because each successive technology generally makes claims about itself which far exceed its capabilities to "deliver," the administrator needs teacher input about the effectiveness of any single technological teaching aid.

Teachers need the structure in which they can design, experiment, develop, test, and innovate. They need to understand that this structure exists, and they need direction in how to take advantage of a structure which permits experimentation. Access to technological tools is one of the most important aspects a structure can provide.

Lounge and Walker (1988, p.30) contend that "a significantly positive impact of computer technology in education will not be realized until a significant number of educators have personal access to computers." An effective administrative structure must allow teachers to participate in the learning process. Any time an innovation is adopted, teachers must see the need. Teachers will see a need fastest if they are included in the utilization of the technology.

In order to overcome these problems, educational administrators need to follow these steps for implementation:

--Map out a specific master blueprint for computer use in the educational unit.
--Provide orientation training to all teachers to promote awareness of the personal benefits of the use of emerging educational technologies in their positions.
--Work with the computer industry to make computers and software available at significant cost savings to students and faculty alike. Circulate information about the many educational discounts currently available.
--Include the purchase cost of software or even computers in the fees for students so the cost can be at least partially covered with loans, scholarships or grants.
--Underwrite a financing plan for teachers to purchase computers on a no-interest basis.
--Provide in-depth and relevant computer training.

PITFALLS IN THE ADOPTION PROCESS

Often school administrators are reluctant to implement educational technology structures because of a perceived high risk factor associated with the rapid movement in the technical field. This high risk view is unfortunate because instructional technology is primarily an investment in minimizing risk in instructional delivery systems.

It should come as no surprise to any specialist in educational technology that researchers have repeatedly documented that the usual student, teacher and administrator alike share a high level of computer anxiety. In the early days of research on computer stress, researchers theorized that people simply transferred their math anxieties to the computer. Interestingly enough, while there was some significant correlation, it tended to be overshadowed by factors related to the user's time and experience on the computer.

Bracey (1988) says that research and practical experience have shown that the best basis for success comes when stress in the computer learning environment is kept to a minimum and when graduate students, or peer student networks in public schools, are used to provide assistance, systematic desensitization and relaxation to the learners on the computer.

REALITIES OF THE ADOPTION PROCESS

When implementing a program involving a new educational technology, the administrator must often be willing to set a priority in the technology area at the expense of another area. The effective administrator will work to demonstrate to the adopters that there will be a payback to the adopter in: 1) time savings, 2) quality of instruction, 3) the opportunity to increase the rate of delivery of rudimentary information, and 4) an increase of time available for individualized instruction.

RESOURCE DISTRIBUTION

Historically, curriculum planning often involved a straightforward blocking of each subject with isolated time blocks using a textbook covering the entire subject (Lounge and Walker, 1988, p.30). Today, however, education curriculum has become more complex with interdisciplinary approaches which are designed to encourage the students to think critically and solve problems in situations involving abundant information and multiple solutions. It is in this area that the computer has a great potential to play a major role.

The process of learning involves the manipulation, analysis and interpretation of information. Computers are ideal for helping students perform exactly these skills.

PROPOSED STRATEGIES IN THE ADOPTION PROCESS

Administrators should set time limits for participation in the teacher support groups. This strategy enables participant's goal attainment in specified time frames and permits closure to adoption processes. This strategy is particularly effective when the change maker is getting commitments from supporters for internal support and external support. Definite budget goals reduce perceived risk to parent, business and teacher groups alike and are more frequently funded when there are timed instructional goals concomitant.

"Appropriate use of technology can contribute greatly to the empowerment of teachers. We as a nation cannot afford to maintain an educational delivery system that operates at less than optimal efficiency. We must find ways to help individuals realize their full potential as teachers. We are asking them to accomplish a difficult job. If they are to be successful they must have a full toolbox and be proficient with all the tools available" (Lounge and Walker, 1988, p.32).

AN EXAMPLE OF THE ADOPTION PROCESS

Given: A new technology is being adopted in School District X. This technology is interactive videodisc. Primary considerations are budget, resource allocation, teacher acceptance, teacher expertise, and student acceptance. At this point, a great deal of structure has been established.

First, in order to get a budget for a project like this, it has been assumed or deemed desired by the teachers.

Second, it is necessary to train any personnel who will be primarily responsible for the system. This step requires designation of resident experts (through training) and establishes a structure through which technological problems and curricula problems are to be solved.

Third, student supervision must be increased at critical points of learning on an individual basis, because the student has been moved from a group learning mode to an individualized learning mode. Students grapple with conceptual formation at different rates, therefore tutors must be available to help them overcome their problems as each comes to major decision points.

While many hardware makers claim that networked systems are the only solution to a multifaceted problem, most beginning budgets are better spent on personal systems which have software dedicated to the location. The major strong points of networking, ie. sharing of data and concurrent operation of applications, may be severely limiting because of the extra cost for site licensing and networkable software.

EVALUATION STRUCTURE FOR CHANGE

The system must reward excellence in implementation of new technologies. However, the reward should be appropriate to the goal of teaching and not overemphasized. If the reward is overemphasized, the potential late adopters may view the process as a penalty against their ever adopting because there are no "goodies" left.

TEACHER INTIMIDATION

Knoppel and Edelson, in an editorial in Instructional Delivery Systems (Jan/Feb, 1989) say that while technology probably could play a key role in meeting the challenge, one of the major problems is "teacher intimidation."

Computer proficiency for educators has a proven track record of increasing the personal productivity of the teacher (Lounge and Walker, 1988, p.32). In addition, teachers with computer information development skills have a marketability edge for employment. Once hired, they are a valuable resource for peer advising and guidance to fellow teachers seeking to develop their computer capability.

The administrator needs to explore structures which allow teachers to experiment, and provide "seasoned educators " with a low risk environment, and at the same time encourage them, even compel them, to use new technologies. Edelson and Knoppel (89) state: "many seasoned educators have difficulties accepting the intrusion by what they see as electronic monsters in their now sacred domain, the classroom."

As a better understanding of the implications and solutions is gained, teachers who have felt intimidated, threatened--or both--will become more able and willing to use new tools to better themselves. Time and new blood will help overcome this obstacle.

However, I would suggest that the problem is not necessarily solved if it requires much time and new blood. All jobs will turn over with enough time and new blood. The solution must lie in the inclusion and evaluation process of the teachers. If a teacher is indeed a "master teacher," he or she has the most to teach younger beginning teachers. Beginners need a partner, and one method of including both sets, the seasoned, and the beginner, is through the buddy system. This approach would place the master teacher in an expert power position in the teaching area while giving the beginning teacher expert power in the technological realm.

While requirements are usually difficult to establish and enforce, they may be much easier if they are part of the evaluation process, and the proficiency process is self-paced rather than group centered. Both modes of operation are still possible but while the group learning mode is a high risk mode, the individual mode is low risk and has pay in both directions from master teacher to beginner, and from beginner to master teacher.

The teacher will learn to become the expert in the technological field; the administrator cannot keep up with all of the advancements that occur unless that is his or her total job.

This creates a natural setting for shared responsibility with teachers reaching a common goal. The administrator supplies resources and a framework of structure where teachers can expand their talents.

The administrator should opt for structures which will encourage participation from the three major contributors of the adoption process of technology in education; parents, business, and teachers.

COMPUTER MANAGED INSTRUCTION: ONE EXAMPLE OF TECHNOLOGY IN USE

Responding to the demands from legislatures for competency based instruction, many administrators are encouraging their school districts to prepare test item banks from which teachers can generate exams, supposedly confident that the exams will accurately measure student mastery of the objectives of the school district. The computer based system then scores the tests and generates a wide variety of reports and student tracking data.

"The benefit of a CMI (computer managed instruction) system is first felt by the teacher, then by the administrator, and finally by the students and their parents" Tyre (1989, p.17). Teachers benefit from reduced paperwork and additional time needed to evaluate their students' performance. Tyre claims that teacher effectiveness is increased. In addition, she claims that administrators can quickly identify problem areas and adjust curriculum in the district accordingly.

At the heart of the CMI system are the curriculum objectives. Allan Cunningham, principal of Northwest School in Dodge City, Kansas, praised the system because it "made us identify our curriculum in terms of objectives and correlate all the learning objectives with our curriculum, basal texts and standard tests in math and reading". "Our project BASIC lets us precisely identify

the gaps in a student's knowledge, giving us the opportunity to catch a student before he drops through the hole." (Tyre, 1989, p.20).

Tyre predicts that CMI will continue to evolve,responding to advances in technology and the demands of educators and administrators. She feels it may well be one of the most powerful tools available to an educational organization and its administrators.

TECH-KNOWLEDGE-Y: A BASIS FOR TEACHER EMPOWERMENT

It is imperative that the school administrator work with teachers to modify the system to allow for the system to most effectively harness the power of the emerging educational technologies without allowing them to drive the system. They must be servants of the effective teacher, not masters.

"Appropriate use of technology can contribute greatly to the empowerment of teachers. We as a nation cannot afford to maintain an educational delivery system that operates at less than optimal efficiency. WE must find ways to help individuals realize their full potential as teachers. We are asking them to accomplish a difficult job. If they are to be successful they must have a full toolbox and be proficient with all the tools available" (Lounge and Walker, 1988, p.32).

Administrators must never lose sight of the fact that it is the educational design that is the genius behind this technology and not the hardware itself. Designers and administrators alike must focus on the educational design and the purpose to be served by all educational technologies and not on the technology itself.

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CHAPTER 6

EFFECTIVE LEADERSHIP IN AN ETHNIC SETTING

Patricia H. Neal

INTRODUCTION

Many and varied problems face teachers and students of one culture when placed into a school comprised primarily of another culture, in this case, the Mexican-Americans of the American Southwest. Stereotypical negative attitudes exist toward Mexican-Americans which relate to their socioeconomic status, traditions and attitudes. Many people, not just teachers, do not understand their culture and therefore are unable to interact with them effectively.

Teachers in this position need to be reeducated, retrained and enlightened in areas of educational goals, language, barriers and ideology of the culturally different. This study will show what the Las Cruces, New Mexico, schools in this geographic area are and are not doing to train their teachers to overcome their prejudices in order to be more effective leaders in the classroom.

HISTORICAL BACKGROUND

Americans of Mexican descent live in nearly every state of the Union. However the majority live in California, Arizona, New Mexico and Texas. According to the United States Census of 1980, some 8.7 million (83%) Mexican-Americans live in this area.

Mexican-American ancestry lies in the various aboriginal populations of Mexico, including such groups as Tlascalans,

enemies of the Aztecs who cooperated with the Spanish conquistadores, and Indians of northern Mexico such as the Seris, Yaquis, and Tarahumaras. In the American Southwest, the Mexicans further mixed their blood with the American Indians, Spanish, other Europeans and Blacks (Weber, 1973).

The Mexican-Americans became a minority in the United States by conquest. They were in the Southwestern area of the United States about 150 years before the Anglos arrived. In the nearly three centuries (1540-1821) in which the explorers from Mexico arrived and the area was under Spanish rule, the colonists were essentially Mexican and their culture became quite distinct. When in 1821 Spain's colonial system began to crumble, the northern frontier became independent along with the rest of Mexico. This independence lasted until Mexico and the United States went to war in 1846. This conflict was brought about in part by the stereotyping of the Mexicans by the Anglo-Americans.

With the Treaty of Guadalupe Hidalgo in 1848, the lands were conquered and annexed by the Anglos and the original Mexican residents became American citizens. Since that time other Mexicans have immigrated both legally and illegally into the United States, especially since the early 1900's. During this period the original residents were not differentiated from the immigrants and both groups suffered economic and social enslavement. They became second-class citizens and victims of overt racial and ethnic prejudices. As they

saw their political and economic status erode, they reacted in various ways. Some remained unaffected, others used violence while others accomodated themselves and tried to assimilate into the Anglo culture.

The Mexicans, however, had inherited the stereotyped "bad reputation" of their Spanish forefathers. Anglos viewed them as inferior, indolent, ignorant, bigoted, cheating, dirty, bloodthirsty and cowardly half-breeds (Weber, 1973). At the same time, the Mexicans noticed the Anglo's superior attitude and their feelings toward people of color -- "fanatical intolerance," as one Mexican editor wrote. The Anglos regarded the Mexican-Americans as offspring of mixed matings between the Spaniards and the Indians or between Spaniards and the Blacks. Therefore, they were not really "white" but "colored" and "inferior" people (DeLeon, 1983). This outlook lasted into the 1900's when it began to change to cultural rather than biological inferiority. However, the belief that the Mexican-Americans are inferior to the Anglos persists.

SOCIOECONOMIC STATUS

Research has shown that recent immigrants to the United States from Mexico and other Latin American and Asian countries are not faring as well socioeconomically as those from many European countries. This is in part due to the fact that they are not able to transfer their skills as well to this country. This takes into account the differences in linguistic,

technological, economic and legal characteristics, together with generally low levels of education and job skill. Differences in wage scales and occupations as well as the continuing large-scale immigration into the United States from Mexico also plays a role in cultural and structural assimilation.

The Anglo has turned to Mexico as a source of cheap labor and the new immigrant finds it quite difficult to get a footing in a land where illegal immigration is rampant and reproduction in legal Mexican families is about twice as high as the average family in the overall population.

Mexican-Americans are generally recorded in the United States Census as "white," although some of them have chosen to be recorded as nonwhite. All Mexican-Americans are considered to be of Spanish origin, but may not have Spanish surnames (Tyler, 1975). The 1970 Census (United States Bureau of the Census, 1970) includes two definitions of persons of Spanish heritage: (1) those of Spanish origin or descent, and (2) persons of Spanish language as a mother tongue, or, if not of that language, those of Spanish surname, provided that they reside in the states of Arizona, California, Colorado, New Mexico or Texas (Tyler, 1975).

Most of the 18 million (1986 United States Census) persons of Spanish language in the Southwest have continuing links with the Mexican culture of Mexico itself. They give this area a unique environment that is different from the rest of

the country; however, for over a century they have been entering into a dominant Anglo society which has rarely concerned itself with their welfare (Tyler, 1975).

The Mexican-American Study Project at the University of California, Los Angeles, 1970, reports: "As a group, Mexican-Americans in the Southwest are highly differentiated from the dominant society on nearly every yardstick of social and economic position. A profile of their main demographic characteristics reveals large variation from the Anglo 'norms'. Their educational attainment shows an especially notable gap. Associated with this gap is an unfavorable occupational structure and a low average income. Their housing conditions reflect not only poor earnings but the pressures resulting from extremely large families."

The Mexican-Americans are found in all occupations and industries; however, they tend to lean toward those offering low and middle range earnings. They also have consistantly higher rates of unemployment compared to the Anglo rates. In 1971 the unemployment rate for Mexican-American males was twice as high as the Anglo male rate, 7.0 and 3.5 percent respectively. The median annual family income in 1970 ranged from $5,897 in Texas to $8,791 in California. According to the 1986 Census figures, the median income for the Mexican-American in the United States was $18,352. At the time of the 1970 Census, the percentage of Mexican-American families below the poverty level was 14 percent in California, 20.9

percent in Colorado, 31.4 percent in Texas, 20.2 percent in Arizona and 29.4 percent in New Mexico. Compared to Anglo families below the poverty level, the incidence was more than two to three times as high (Tyler, 1975). The figures do not represent the persons who receive income from public income maintenance programs, as many times this assistance raises their income above the poverty standard.

Mexican nationals entering the United States gravitate toward those urban and rural areas in which they feel a cultural compatibility and comradeship. If they have entered the country illegally, these areas can provide a setting in which they can evade official curiosity. By settling in such areas, they join the existing labor force and market, This results in a loose labor market where there is an oversupply of workers and depressed wages.

SCHOOLING

Mexican-Americans also receive less schooling than the Anglo. In March 1972, 26 percent aged 25 and over had completed less than five years of schooling (Tyler, 1975). Many Mexican-Americans have their first encounter with the English language in a school situation. A child raised in a Spanish-speaking home is at a distinct disadvantage if the school is geared to teach only in the English language by monolingual English-speaking teachers. The reluctance of schools to institute bilingual programs further deepened the educational difficulty (Tyler, 1975). Compounded by the teachers unfamiliar with the Spanish language, their negative attitudes toward the

Mexican-American culture and low socioeconomical level, new ethnic materials and teaching strategies become ineffectual and/or harmful (Banks, 1988).

Studies of the job ceiling have shown that a disproportionate number of minorities such as the Mexican-Americans are poor because they did not have adequate education to enable them to get more desirable jobs with better wages. As a result, social policy has been directed toward providing more education for the minorities. However, it was also found that Anglo and Mexican-Americans did not get equal jobs of equal pay for similar educational achievement (Blair, 1972). It has been suggested that the Mexican-American youths probably realized that continuing their education or graduating from high school or college did not reap the rewards it brought the Anglos, so they frequently dropped out of school (Ogbu, 1978).

The job ceiling and other barriers against the Mexican-Americans result in sociocultural factors that cause poor performance in school. Minority students are placed in low academic tracks because of middle class and Anglo-biased IQ tests. It has been found that students who speak a first language other than Anglo-American English often fail to do well in school (Banks, 1988).

Keeping in mind negative attitudes on the part of teachers, especially those who are totally unfamiliar with the Mexican-American culture, discriminatory practices will surface in the classroom in the form of self-fulfilling prophecies that

harm students and perpetuate social inequities (Gollnick, 1986; Chinn, 1986). These prejudices are based on lack of understanding of the history, experiences, values, standards, customs, religion and traditions of the minority group. This is the extreme form of ethnocentrism -- when one views his own cultural traits as natural, correct and superior to those of another culture. Other cultures are considered odd, amusing, inferior or immoral. The inability to view another culture through its cultural lens rather than one's own cultural lens prevents an understanding of the second culture and prohibits cultural relativism,the attempt to understand other cultural systems in their own terms rather than one's own cultural beliefs. This is a monumental hurdle and one that must be conquered befor effective teaching can take place. Educators must be aware of any prejudices that they themselves hold against members of a low socioeconomec group, as well as another culture. They must examine their own philosophical beliefs and endorse multiethnic ideology.

Banks (1988) points out that educators realized ethnic studies for teachers were necessary but not sufficient to bring about educational reform and equity. The total school must change. He sets forth the following goals for multiethnic education:

- help students gain greater understanding by viewing their cultures from the perspective of other ethnic groups

- provide students with cultural and ethnic alternatives
- help students gain cross-cultural competence
- help students master reading, writing and computational skills
- help students develop clarified and reflective ethnic, national and global identification.

All this for the student is worthwhile, but it must be remembered that the teacher must be reeducated in order to facilitate these goals.

Jack Forbes of the Far West Laboratory for Educational Research and Development (Baty, 1972) stressed the need for programs with a greater impact on the teacher than was typical. He felt the teachers should be brought together for an entire month of intensive training before the opening of school. He felt this approach would have a decisive impact on teacher's attitudes.

A study of Mexican American Education done by the United States Commission on Civil Rights in 1973 showed that there are important differences in teacher interaction with Mexican-American students and Anglo students. The Mexican-American students receive significantly less praise and encouragement (36%) from the teacher and less often hear the teacher accept or use the ideas they express. The teachers also spent less time in asking questions of the Mexican-Americans than of Anglo students. It was also found that teachers address significantly more noncriticizing talk to Anglos than Mexican-Americans. The Mexican-American students also spoke less in class.

This study also showed that teachers expressed acceptance of students' feelings twice as often for Anglo as for the Mexican-Americans, and spent more time relating information to the Anglo pupils. It was found that the Mexican-American students were consistently encouraged less and discouraged more than their Anglo counterparts. The total picture of classroom interaction patterns at that time was that of a teaching process which was failing to involve the Mexican-American student to the same extent as the Anglo pupil, both in terms of quality and quantity of interaction. The disparity may damage the academic self-esteem and motivation of Mexican-American pupils because students tend to evaluate themselves on the basis of the teacher's treatment of them in comparison to the other students.

No explanation for this disparity can justify the pattern of unequal treatment. Mexican-Americans speak less in class thus making fewer contributions that can be praised or encouraged by the teacher. Some schools neglect the language and cultural background of Mexican-Americans. This contributes to the reluctance of some Mexican-Americans to particiapte verbally in classroom activities.

A large number of Mexican-American pupils enter school speaking very little English or with serious difficulties in using the language (Tyler, 1975). Most schools today have language programs to meet these needs. This language difficulty prevents or inhibits many Mexican-American students from

speaking in the classroom. Also, the content of the curriculum in most classrooms is not designed to be relevant to the home background and familiar experiences of Spanish-speaking children. Too, teachers are not generally trained to include the unique interests and experiences of the Mexican-American students in the classroom discuesion. Because of this neglect, the cycle of low participation, lack of interest, poor achievement and low self-esteem begins (Tyler, 1975).

Evidence from other studies suggests that many teachers actually believe that the Mexican-American students are not as capable of learning as other children. A teacher in one elementary school in a predominantly Mexican-American town reported that she thought Mexican-American students were basically "dull" or "slow witted." Attitudes like this are reflected in the way Mexican-American students are treated in the classroom and contribute to the cycle of educational failure, of which the schools bear the major responsibility (Carter, 1970).

Teachers encounter many problems in trying to teach, reach and understand the Limited English Proficient (LEP) student, and become very frustrated as a result. At the same time, the LEP student is encountering his own problems -- loneliness, culture shock, communication, and the informal American Society. Social and psychological adjustments must be made on both sides.

In the lower Rio Grande River valley just 40 miles north of the Mexican border, lies the small city of Las Cruces, New Mexico. Presently its Mexican-American residents outnumber the Anglo-Americans by nearly two to one. The breakdown in the public school system in the Spring semester of 1989, is as follows: total students, 18,010; Mexican-American, 10,355; Anglo-American, 7,050; Black, 384; Asian, 140, and North American Indian and Alaskan Aleut, 69. In the past, Title VII, a federally funded grant designed to work with bilingual students, existed but unfortunately within the last 5 or 6 years became defunct. It has, however, been reinstated and began anew in October, 1988.

Mr. Jaime Tamez, Title VII Language Development Coordinator for the Las Cruces, New Mexico, Public Schools, is working with the Language Development Program, hiring staff and acquainting them with their roles and responsibilities (personal communication, March 22, 1989). Through his efforts and those of others involved in a proposed three year training plan, five major goals have been formulated:

1. To enable students to become proficient in English as quickly as possible through a structured transitional program. The teachers will share in inservice training and coordinate instruction and curriculum. Resource teachers will develop learning materials to integrate these areas, provide skills demonstrations to teachers and students and work primarily toward acquiring a second language. Regular

classroom teachers will teach the entire curriculum but will have been provided with insight, training and skills in teaching the LEP student.

2. To enhance students' development of concepts in their native language and to create opportunities to promote knowledge of their cultural heritage as well as that of others. Science, social studies, math and other subjects will be taught during the time they are taking part in language development classes. The native language may be used in teaching these concepts. Classroom and resource teachers will collaborate to design materials supporting language development and cultural differences and similarities which will all be incorporated into the regular curriculum.

3. To enable LEP students to meet grade promotion and graduation standards as required by the state of New Mexico. Part of the resource teacher's work will be to develop materials and activities designed for use by LEP students as well as regular classrooms to master the skills and graduation requirements.

4. To build the capacity of staff to meet the needs of LEP students in regular classrooms by integrating methods of teaching LEP students throughout the curriculum. This is considered the most important part of the program. Classroom teachers are not prepared to meet the needs of the increasing number of LEP students in the Las Cruces area. This goal is divided into three steps, the first of which is

to train teams of teachers in each pilot school. The second step consists of training additional staff members and expanding the teams. This pattern will be followed until all the staff has been trained -- it is a continuing process. This process is illustrated in Figures 1, 2, and 3.

5. To provide resources aimed at increasing the district's capacity to maintain a coordinated program for LEP students. The elements of the project will be overseen as well as assessing the needs of the district throughout the implementation of Title VII and developing a coherent, interlocking language development program.

LEP TEAMS

The LEP team idea focuces on a different set of district schools throughout the three year implementation period, and highlights four aspects of development:

1. To increase the capacity of the staff to meet the intellectual, social, cultural and psychological needs of the LEP students.

2. To attain a supportive environment with the LEP students' needs in mind.

3. To inform those involved of current local, state and national policies and legislation.

4. To train those individuals involved in language and academic evaluation of LEP students.

The LEP Team Handbook states:

In elementary there will be a minimum of one teacher

per grade level: These teachers will work with the Title VII Resource Teacher together as a LEP TEAM.

In the secondary level teams will be comprised of a minimum of five or six teachers in English, science, mathematics, social studies initially and later adding other staff.

These LEP TEAM teachers do not necessarily have to be bilingual. There will be Instructional Assistants working with the classroom teacher.

The classroom teacher and the Instructional Assistants will attend the same workshops and receive instruction and assistance from the Resource Teacher.

LEP Teams will meet with the Resource Teachers on a regular basis. The teachers within the teams will act as a support group for each other as well as for their students. The team will offer a continuity of instruction and a sensitivity to individual students needs.

The Resource Teacher, as part of the team, will offer instruction in methodologies and techniques. They will be available for team teaching and demonstrations. Materials will be researched and dispersed by the Resource Teacher for the LEP TEAMS' use.

There will be workshops presented during the year that will afford the teacher and assistant an opportunity to learn a variety of techniques to be used in the classroom. These techniques are not limited to use with LEP students -- but are applicable to all students. The workshops are designed to benefit all students in all classrooms.

Types of training provided by the staff include such topics as English as a Second Language (ESL) and bilingual curriculum, ESL materials and techniques, non-English language materials and techniques, computer assisted instruction, literacy, instructional methods, linguistics, math and science for LEP students, teacher/staff development,

program objectives refinement, capacity building, documentation/evaluation, and parent training.

After a workshop conducted by Tamez, March 6, 1989, entitled Integrating the LEP Student in the Content Areas, a monolingual (English) teacher formed the following conclusion: "This has been the most informative and worthwhile workshop so far. I'm pleased to know that the district is finally providing guidance for English as a Second Language students and teachers in a systematic way."

CONCLUSION

Considering the long history of the Mexican-American in the United States, this program has been a long time in coming. Al-hough the Las Cruces, New Mexico, district has had fragmental programs to help these teachers and students, Title VII should continue to grow and develop as the district grows and more LEP students enter the system. Programs such as Title VII not only provide the Mexican-American student with the necassary tools with which to achieve graduation requirements, but provide the teacher unfamiliar with the Mexican-American culture with the necessary understanding and expertise to approach the ethnic classroom and be an effective leader.

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LAS CRUCES DISTRICT STAFF CAPACITY BUILDING PLAN
YEAR 1: 1988-89
INITIAL TRAINING COMPONENT

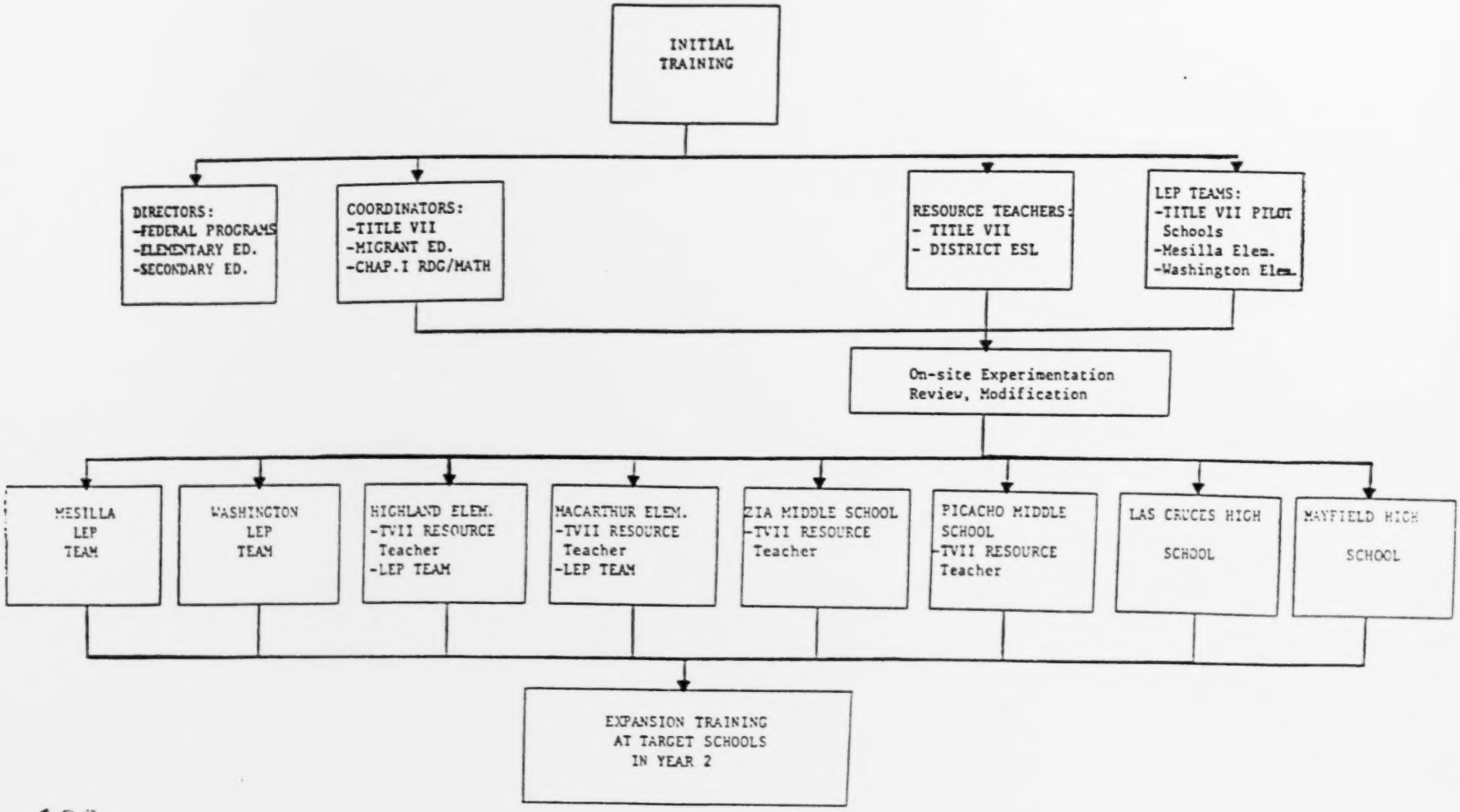
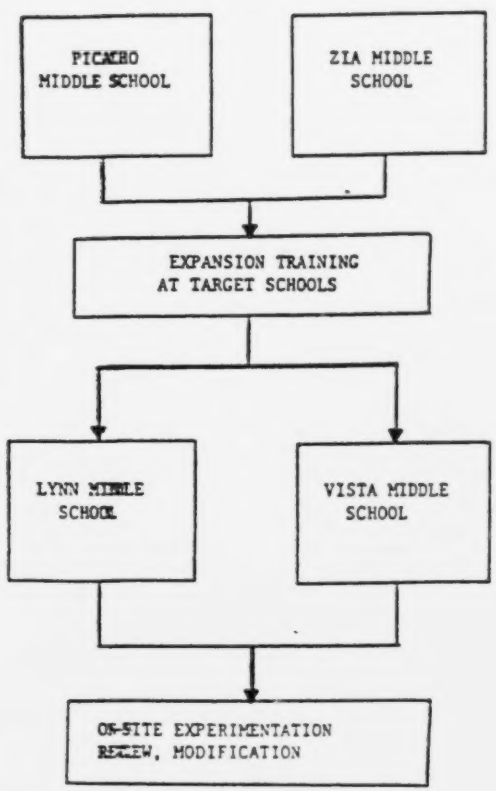


Figure 1

LAS CRUCES DISTRICT STAFF CAPACITY BUILDING PLAN
EXPANSION TRAINING COMPONENT-SECONDARY SCHOOLS
YEAR 2: 1989-90



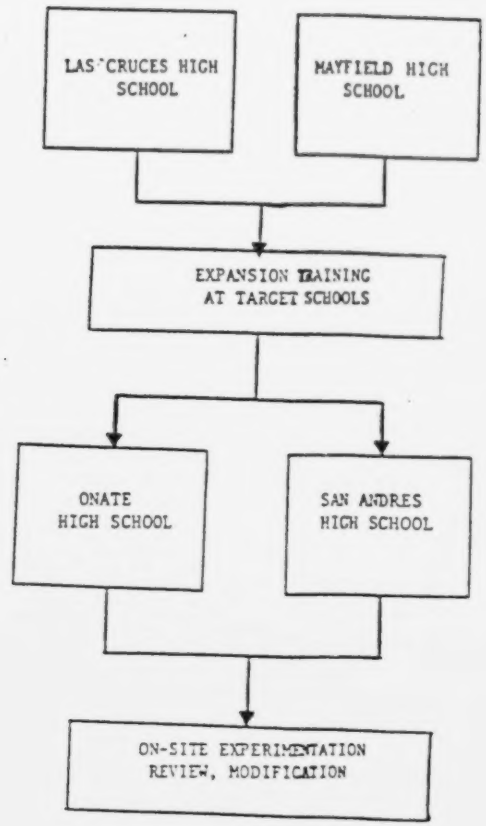


Figure 2

LAS CRUCES DISTRICT STAFF CAPACITY BUILDING PLAN
EXPANSION TRAINING COMPONENT-ELEMENTARY SCHOOLS
YEAR 3: 1990-91

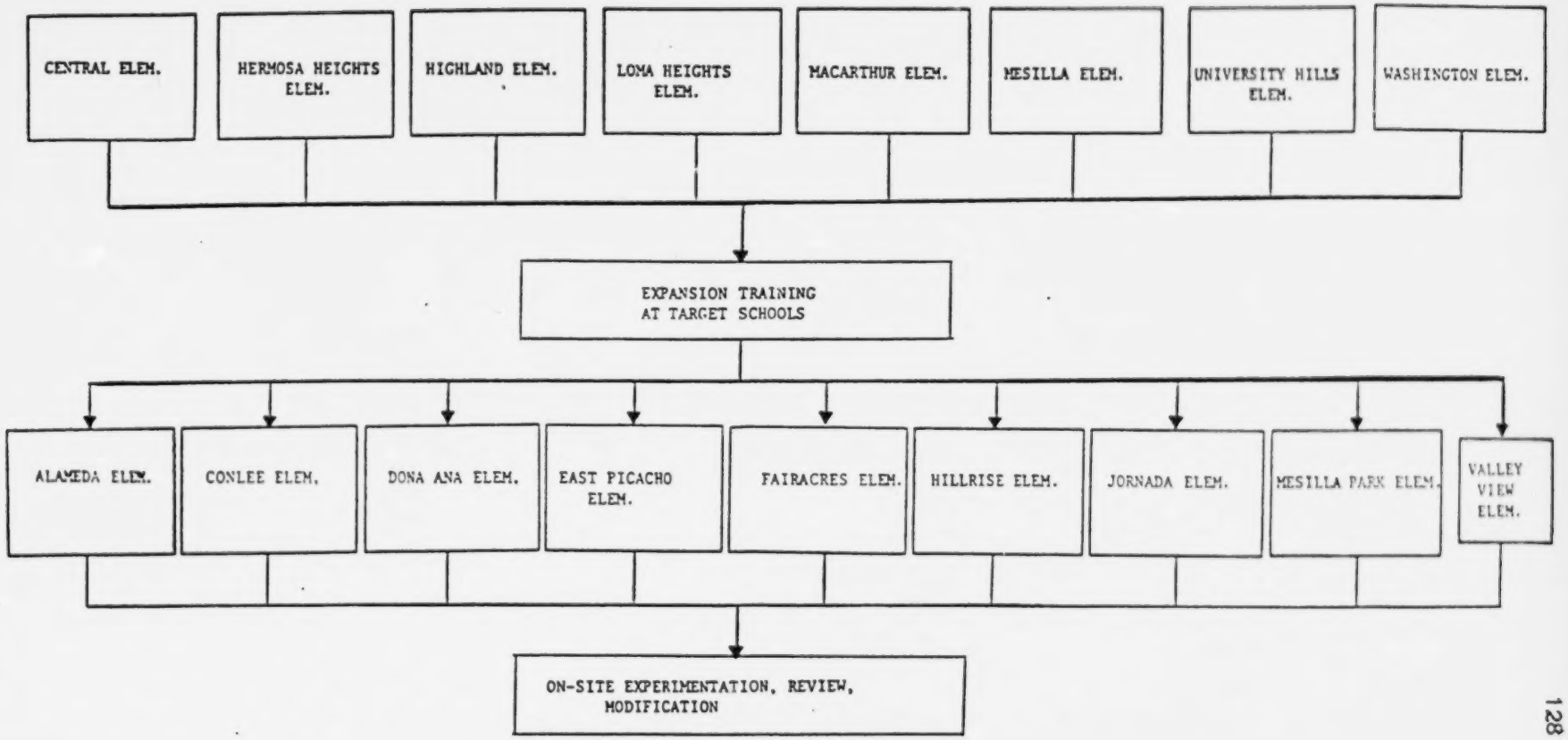


Figure 3

CHAPTER 7

AT-RISK LEADERSHIP IN AT-RISK PROGRAMS

Irene C. Rojas

AT-RISK LEADERSHIP FOR AT-RISK PROGRAMS

The key to at-risk programs is leadership. Texas school districts have been mandated by House Bill 1010 (HB 1010) to address the needs of students at risk of dropping out of school. The school districts need to establish a firm foundation for their at-risk programs with careful selection/training of their at-risk coordinators. The selection of the at-risk population to be addressed also plays an important role in the success of an at-risk program because this population is too numerous to be addressed effectively and efficiently as a whole. The El Paso Independent School District (EPISD) is experiencing success in their program due to the special effort taken in establishing a firm foundation in its at-risk leadership.

The hardest part of any job is getting started. Many educators view the at-risk crisis with an attitude of "let's stop lamenting the crisis and do something about it" (Perry, 1988). Nancy J. Perry states that momentum has been slow to build partly because the movement to save the schools has been an uncoordinated effort. The area of "how to do it" and "leadership

training" needs to be addressed with the findings being shared with other school districts. The president of American Federation of Teachers, Albert Shanker, views the dilemma of dropouts by stating, "We have hundreds of people struggling to find the same answers. We need a system of sharing and communication" (Perry, 1988). This short discourse on how one school district has achieved success with its at-risk program may serve to get other districts to try its method or will provide a source of contact for further information.

The El Paso Independent School District set forth, given the requirements contained in HB 1010, in an attempt to arrest the at-risk crisis affecting its students. EPISD felt that every student should be given an equal opportunity to acquire an education and that HB 1010 would offer the support needed to accomplish this goal. Five states have taken the lead in addressing the at-risk problem: California, New York, Florida, Michigan, and Texas. Texas illustrates its dedication by pursuing the requirements set forth in HB 1010 and in 19 TAC 75.195 (Alternatives to Social Promotion). HB 1010 is an act which relates to reducing the number of students who drop out of public school. This act took effect on September 1, 1987 and requires school districts to provide remedial and support programs for

students at risk of dropping out of school and support programs for at-risk coordinators (Texas Education Agency, 1988). The act also directs the Texas Education Agency to undertake a number of activities, including a dropout reduction program, a dropout data collection system, and a dropout information clearinghouse.

Although steps have been taken to comply with the requirements of HB 1010 and the Alternatives to Social Promotion, methods used by different school districts vary and are on a "trial and error" basis. The dropout prevention effort undertaken by Texas and the other four states differ also in their approach from using computers, videos, mentoring, to work centers. Within the EPISD there is uniformity in leadership provided among its schools; outlying districts are implementing different approaches not as concentrated as those of EPISD. Texas has taken the ambitious dropout prevention effort (Blaschke, 1988) by implementing strategies to reduce the statewide dropout rate from 30 percent to five percent by 1990.

These strategies need to be carried out by well trained at-risk coordinators who have been carefully selected by the district. Yet, they, too are at-risk since the selection of coordinators is on a "trial and

"error" basis. These at-risk coordinators are trying to find the antidote for what ails the educational system, while at the same time the instructional leaders hope the methods used to address the at-risk problem will not be detrimental to the success of the program. One of the most used, but least effective, strategies to deal with at-risk students is to "flunk them" (Slavin and Madden, 1989). This method should be avoided if at all possible.

To help support the efforts of the at-risk coordinators, the state and federal agencies have provided funding for use in the at-risk programs. These agencies are fully aware that 25 to 30 percent of the secondary school students are becoming dropouts (Blaschke, 1988). Senator Edward M. Kennedy (Kennedy, 1988) states that the number of dropouts is not decreasing and that when students drop out of school we all lose. He states that the nation loses in foregone earnings and taxes as well as money spent for crime control, health care, welfare, and other social services that unproductive citizens require. He stated that during 1985-1986, nearly 4,000 teenagers dropped out of school daily. These as well as other statistics on our dropout rates are alarming and could well be understated. These figures do not include

what Calabrese (1988) refers to as "nonstatistical dropouts" or students who attend school but do not actively participate; students exhibit passive withdrawal.

The funding from federal, state, and local sources will be increased from slightly less than $100 million in 1987 to more than $900 million in 1989, as per data gathered by Education Turnkey's Technology Monitoring and Information Service (Blaschke, 1988). In addition, the report states that $200 million has been allotted for secondary-level basic skills for at-risk students from Chapter 1 funds while Chapter 2 has "set aside" 20 percent of any state's given funds for at-risk youth. Governors, state departments of education and/or state legislatures have also proposed $400 million for at-risk programs.

The main ingredient--funds--is present, therefore, to initiate at-risk programs. There are also guidelines given on the at-risk population to be addressed as per HB 1010 and 19 TAC 75.195. The one thing not mentioned are the qualifications for at-risk coordinators; this is left up to the different school districts. The EPISD has hired 24 at-risk coordinators with the head at-risk coordinator as K. Allen Johnson, Associate Superintendent of Instruction. There is currently

one at-risk coordinator at each of the high schools and middle schools. The elementary schools have been assigned one at-risk coordinator for every twenty schools. Since the job description for at-risk coordinators was not specified, EPISD wrote their own.

At-risk coordinator positions were solicited through the Ad Com, an EPISD publication, and the EPISD personnel office. During the early part of 1989, applications were received for the 24 slots available for at-risk coordinators for the EPISD. Selections for these at-risk coordinators were made by a team consisting of the Associate Superintendent of Instruction, K. Allen Johnson (also the head at-risk coordinator), an Area Superintendent, a principal, and the personnel director. The Area Superintendent and the principal were from the school/area as applicable to the particular at-risk coordinator applicant.

One of the prerequisites for at-risk coordinator applicants was that they have a teaching certificate. This prerequisite was made with the teachers' interest in mind and with foresight that newly hired at-risk coordinators might decide to leave their positions, they would have their previous teaching positions to return to without losing their teaching status.

Another area which was left up to the district was that of training the at-risk coordinators once hired. The EPISD began having orientation sessions for the newly hired coordinators once or twice weekly, totaling almost three full weeks of training. Monthly meetings continue to be held to bring coordinators up to date on the progress of the at-risk program.

El Paso Independent School District is not unique in its "trial and error" approach to the selection or training of its at-risk coordinators. This is apparent in two separate surveys taken. In a survey conducted by the Missouri Association of Secondary Principals (Dorrell, 1988), 95 percent of the principals attending the conference indicated that their school districts did not provide inservice training for professional staff members in the area of dropout prevention.

The area of selection and training would not need to be addressed if a district felt the at-risk problem was nil or nonexistent as was indicated in Brannon's (1988) survey: some teachers were not aware of the dropout problem. Louis Harris and Associates (Brannon, 1988) conducted its annual national study in May and June of 1987 with the following findings: only 6 percent of elementary teachers think that

dropouts are a major problem, 9 percent of junior high school teachers think so, and 17 percent of the high school teachers think so also. What is of major concern here is that 94 percent of the teachers in the elementary schools and 91 percent of those teachers in junior high did not believe that dropouts are a major problem (Brannon, 1988). Therefore, by the time these students get to the high school level, it is probably too late to intervene in their dropping out of school. The more aware people are of the dropout problem and how to deal with it, the easier the path to recovery.

Regardless of what one survey may indicate; the dropout problem does exist and continues to multiply. That is why training for at-risk leadership is imperative if the crisis of dropout is to be reduced. After such training has been completed, teachers need to have better control of their classroom with regard to curriculum for the at-risk students. Teachers need this autonomy (Crist, 1988) if they are to address the needs of these students. Crist (1988) states that teachers need to be trained to recognize the factors that contribute to inhibited learning in the classroom. Therefore,

if teachers are not adequately trained, they will not be able to direct students to the resources and support they need to overcome their negative influence.

This support for at-risk students would be provided by at-risk coordinators located at their schools with these teachers wearing only one hat and dedicated to only one course. Although we cannot undo what has transpired in creating at-risk students, we can do our best by providing better instruction and direction for these students in the earlier grades. Slavin and Madden (1989) state that one of the most effective ways to reduce the number of at-risk students who need help is to provide "good instruction in the first place".

Other surveys have indicated the importance of specially trained teachers in the area of handling at-risk students. Corpus Christi Superintendent Charles Benson (Banks, 1987) states that although success was achieved in their program, bigger strides may have been made had teachers been trained to handle this type of student.

Not knowing what to expect nor how to deal with this type of student would cause stress for teachers. Research has shown that teachers experience stress while teaching regular students; more so when not

trained to handle the needs of the at-risk youth. A survey on working with high-risk youth in prevention and early intervention programs (Mills, Dunham, and Alpert, 1988) found that teacher stress levels influence how they deal with high-risk youth. This study also found that if teachers were anxious about their teaching performance of if they came to class suffering from other sources of stress, they would be more apt to become easily rattled, more likely to become irritable and prone to overract, or become defensive. If teachers are trained to handle at-risk students, they will have some of the stress of teaching reduced since they will comprehend what is expected of them as teachers and will also know the nature of the at-risk student. Needless to say, the teacher's stress reactions will not go unnoticed by the students, who will probably respond in kind.

Stress caused by teaching can be dealt with by training teachers to cope with the various situations that bring on stress. Another area more difficult to reform is the teacher's attitude. Research has shown teacher attitudes to be a factor in student learning (Calabrese, 1988). Calabrese (1988) found that at-risk minorities' problems were often reinforced

by schools where control takes precedence over education. Minorities were placed in classes where rigidity and conformity were stressed; the teachers generally assigned to such classes were more likely to be perceived as uncaring. This study suggested several reforms of the traditional structure of schooling; one of these reforms was to alter teacher attitudes. Calabrese (1988) stated that school districts needed to give high priority to staff development on both affective and cognitive skills related to at-risk students from various cultures. He stated that teachers needed to be trained to analyze system failure, rather than focusing solely on the student.

The teacher's attitude may be crucial in providing the link needed by students to advance in school. Many times the teacher's influence is needed when the support of the student's family or peers is lacking. On March 8, 1989, Dr. Don Ferguson spoke to the Phi Delta Kappa (PDK) Chapter at New Mexico State University. He is an ex-president of PDK (1978-1979), is a motivator, and an organizer for the Gallup Poll. He directed the research project on "At-Risk Students" for the New Mexico State University Chapter of PDK in cooperation with one hundred other chapters

and the PDK international. The findings were to be presented at a national meeting of PDK in San Francisco, CA on March 24, 1989. He stated that the final outcome of their research pointed to "love and attention" for the at-risk youth in the home, with the school improvising where the home element was nonexistent.

A similar view was held by Congressman George Miller, Chairman of the House Select Committee on Children, Youth, and Families (Instructor Secondary Edition, 1988). He states that teachers, counselors, and other professionals can certainly make a significant difference by having high expectations, by developing personal relationships with and being a "consistent presence" for students at risk of dropping out or facing serious academic problems. Across the nation a similar concern is found. In a survey conducted in Los Angeles, CA (Tidwell, 1988) 374 urban high school dropouts had several suggestions for the improvement of high schools. Of these three had to do with teachers working "with" students rather than just handing the students work to do on their own; the other, that the ratio of teacher to student be decreased so as to provide more "attention" time for students; and also that teachers

improve their attitudes and behaviors, specifically in their sensitivity and tolerance. As a measure for paying more attention to students, the Pennsylvania Methacton School District (Moskowitz, 1989) initiated a plan called "Adopt an At-Risk Student" whereby the teacher would work directly with the at-risk student.

Other approaches are being tried to better address the needs of at-risk students. Moskowitz (1989) refers to the team approach which has also been successful in reaching at-risk students' needs. Students receive more attention as they work with a team consisting of the central administrator, a guidance teacher, a nurse or health science teacher, and one or more classroom teachers. Intensive training is the key in this team effort as they all receive intensive workshop training that is both content- and process-based. The team works together with its school to identify and refer at-risk students to resources available for their needs.

A stipend was used as the "carrot" for encouraging participation in training for at-risk leadership in Fort Worth, TX (Perry, 1988). A ten-month's stipend was offered and teachers were paid to participate in the workshop while at the same time being

trained for leadership and developing curriculum for the at-risk program.

There has been extensive research on the dropout crisis. The approaches being taken to address the needs of at-risk students are also as numerous. What does stand out in these at-risk programs is their similarities. Hahn (1987) found the following to exist in successful programs: (1) Skills needed in the workplace should be taught, (2) Chances for employment are not increased if isolated work experience is taught, (3) Teaching should be done by "caring" teachers, (4) Classrooms should not resemble the regular classrooms, (5) Reading should be one of the first things taught, (6) Preparation for the labor market should be done through pre-employment/ work-maturity service--but only when students are ready; writing resumes and practicing job interviews should be "exit" services and not the centerpiece of dropout prevention and remediation, and (7) There should be sufficient "time on task".

Hahn (1987) emphasized the "caring" aspect of teaching at-risk students as well as did Dr. Don Ferguson (1988) and Congressman George Miller (1988). Caring is also one of the significant factors mentioned by Dale Mann (1987) in helping at-risk students to

succeed. The other three "Cs" he mentioned which were needed to assist students to stay in school were: cash, computers, and collaboration. Job skills or parttime employment, knowledge of computers, and cooperation among school personnel is needed in order to keep students in school.

Another study had similar suggestions for the intervention/prevention process for the at-risk crisis (Erickson, 1987). Erickson (1987) found the following to be helpful in dealing with at-risk students: (1) Provide summer experiences to keep interest in school, (2) Care for and treat each student as an individual, (3) Help students to use their strengths, (4) Provide more counseling for students, (5) Match electives to the students' interests, and (6) Carefully assess and monitor plans for incoming freshmen. He states that there should also be cooperation between parents, teachers, counselors, business, and the community.

The success EPISD is experiencing points to the fact that it contains many of the characteristics present in good retention programs. O'Connor (1985) found the following to be characteristics found in three exemplary at-risk programs in Colorado, Oregon, and California:

1. Early identification
2. Sound organization
3. Proper staff selection
4. Team approach
5. Specific focus
6. Careful student selection
7. Respected institutional role
8. Administrator flexibility
9. Community involvement
10. Substance abuse awareness

While compiling the students to be served, the EPISD contacted students who had been designated as being "at-risk" of dropping out of school. Of the 2,900 students meeting set criteria, 1,300 were unable to be reached, and thus labeled "unknown" since their whereabouts could not be determined.

In order to address the needs of the at-risk students more effectively and efficiently, the EPISD used a "filtering" process to achieve workable numbers. As per HB 1010, the students meeting certain criteria would automatically be eligible for the services to be provided to at-risk students (EPISD, 1988):

1. Twice failed to advance to next grade level
2. Failed Teams test - reading, writing, math
3. Failed two courses last semester-high school only
4. Not expected to graduate in four years after entering grade level
5. Reading two years below grade level
6. Math two years below grade level

Optional criteria to be considered in the at-risk student selection process after the first level criteria is addressed would be (EPISD, 1988):

1. Adjudged delinquent (6-12)
2. Abuses drugs or alcohol (6-12)
3. Is limited-English proficient (LEP)
4. Receives compensatory/remedial instruction
5. Is sexually, physically, or psychologically abused
6. Is pregnant (6-12)
7. Is a slow learner
8. Enrolls late in the school year
9. Is an underachiever
10. Is unmotivated
11. Exhibits other at-risk characteristics such as chronic discipline problems and poor attendance.

The key factor that would automatically require that a student (grades 1-5) be eligible for at-risk services would be that they have failed to advance to the next grade level at least once. Once this selection process is completed, an intervention plan is developed by the at-risk coordinator and the counselor for each student.

In summation, the empowered leader would need to be cognizant of the nature of and selection process for the at-risk student, the selection/training of the at-risk coordinators, and be knowledgeable of the effective methods of leadership needed in guiding others to partake in achieving the goals set.

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CHAPTER 8

TEACHER EVALUATIONS: A CHALLENGE FOR LEADERSHIP

Robert Hemphill, Jr.

INTRODUCTION

Teacher evaluation is the focal point for educational reforms pertaining to the instruction available to students, the quality of teachers, and accountability for the outcomes of academic achievement. Initiatives such as career ladder, merit pay, and other incentive programs have become part of the process for evaluating teacher performance.

Local school board members, school community leaders, and legislators emphasize the importance of teacher evaluation believing that it has a primary function in promoting educational accountability and improving the quality of instruction. The assessment of teachers is viewed as a strong device for promoting quality education in public schools.

Teachers are generally skeptical of evaluations and tend to view teacher evaluation as an ineffective system for determining accountability objectives and improvement goals.

This chapter is intended to help remove some of the skepticism pertaining to teacher evaluation by focusing on the role of instructional leaders and the challenges they are faced with as evaluators. The primary goal is to help instructional leaders and teachers better understand the evaluation process by focusing on issues pertaining to improving the quality of instruction.

Since the early 1900s, educators have objected that tradi-

tional appraisals sabotage their professional status and fail to represent the true image of the teaching profession. In 1916, Sara Farley, President of the National Education Association's Department of Classroom Teachers, introduced what McLaughlin and Pfeifer (1988) referred to as a powerful campaign against the efficiency system. This system was considered to be a destructive and misguided effort to standardize the relationship between students and teachers. Current assessments echo identical concerns. Legislative ideas pertaining to evaluations have often evolved because of poor communications and a belief that some agendas are designed to penalize rather than reward teachers. A spokesman for the Association for Supervision and Curriculum Development remarked that:

> Preoccupation with trying to build a [teacher evaluation] system that will enable a school to separate the good teachers from the bad and then provide such good hard data that a challenged dismissal case will be successful, has done as much as anything to break down the effectiveness of teacher evaluations. (McLaughlin and Pfeifer, 1988)

Teachers contend that the prevailing checklist approach to teacher assessment instruments that are based on the process-product model of instruction are inappropriate tools for evaluating teacher accountability and the quality of teaching. Teachers have identified several basic concerns:

1. Teacher behaviors and activities interact with factors to shape student performance. Student socioeconomic status, family environment, prior instructional exposure,

student abilities, and school climate are some of the factors that influence a student's performance.

2. Student outcomes are cumulative. It is difficult to isolate the effect of any one teacher on a student's performance.

Many administrators and teachers band together in giving below average marks to the general use of most teacher assessment designs. Many school districts view teacher evaluation as an annoying administrative affliction that achieves little. (McLaughlin and Pfeifer, 1988)

THE ROLE OF THE PRINCIPAL

The educational reform movement has been the dominant subject pertaining to the improvement of instruction. The instructional leadership role of principals with regard to emphasizing more supervision of instruction has been the primary focus of the movement. The role of the principal as previously described is not new. In 1928, Hubert Nutt described the role of the principal in his work on supervision as follows:

> The primary function of the school principal shall be to carry on an effective program of instructional supervision in his building. He shall devote not less than two thirds of the regular school day to personal visitation and study of the work of the teachers in his building....He shall select the number of teachers and the subjects which he will be able to work with intensely, and he shall visit

> each teacher not less than two full class periods in each subject selected during each week for a period of not less than four weeks. At the end of this period of intense supervision, he shall select either a new group of teachers with the same subjects, or a new group of subjects with the same teachers and continue as before....He shall continue this plan throughout the school year. (Greenfield, 1987)

Instructional leadership has always been emphasized as an important function of the principal. School administrators are expected to function effectively in this role as well as other duties. Research studies (Blumberg and Greenfield, 1986) indicate that principals are required to perform in many roles with little or no time allotted for supervision of instruction.

> The 1975 study by Ellett showed that less than one half of one percent of the total work time available to seven school principals over six complete workdays was spent in curriculum and instruction activity. (Greenfield, 1987)

The principal's role as instructional leader in the school has come under attack by many in the educational field. There is question as to whether principals can function effectively as supervisors of instruction when they are responsible for performing other tasks such as budgeting and evaluating building personnel. Since instructional leaders are viewed as support personnel, some argue that principals should maintain some distance from formative evaluations due to their role with summative evaluations. (Greenfield, 1987)

THE PRINCIPAL AS INSTRUCTIONAL LEADER

School principals, who are charged with various responsibilities in the school plant, are now told to focus more attention to teacher performances and instruction. Principals are also encouraged to work closely with teachers on improving instruction in their building.

Research according to (Little, 1987) indicates that successful school are distinguished by certain workplace habits that are influenced by school leaders. Teachers and instructional leaders in these schools tend to work closely together as colleagues and seek to reach common goals such as improving instruction.

Principals can examine the effectiveness of their instructional leadership abilities at the classroom level. By virtue of their position, principals possess rights withheld from teachers. This power or rights possessed by principals can contribute to or destroy professional norms depending on the performance of the instructional leader.

Leadership requires some element of character. Requirements and demands of leadership are "confounded and compounded" by the complexity of the school curriculum, school size, and the extent of administrative obligations. (Greenfield, 1987)

The principal as instructional leader can provide leadership necessary to overcome the various demands of the school community and central office administration by supervising and evaluating teachers, supplying human and material support, and leading faculty workgroups. Together, administrators and teachers

can work as partners to improve instruction. (Greenfield, 1987)

INSTRUCTIONAL LEADERS SHOULD FIRST BE TEACHERS

The state of New Jersey recently ventured to eliminate teaching experience as a provision for becoming a school principal. Guthrie (1989) stated that supporters of the policy believe that this change will help increase the pool of potential administrators. This policy requires new principals with no teaching experience to teach one class per day during a one-to-two year residency period.

The rationale for requiring classroom teaching experience as a prerequisite for becoming an instructional leader remains a force. Guthrie (1989) stated the following:

> through such experience, administrators gain not only knowledge of their profession but also credibility with colleagues--both crucial to their success. (p. 14)

The New Jersey plan may be positive in the long run, but its weakening of the two fundamental elements necessary for potential administrators to possess bring the policy into question.

Advocates of the plan argue that teaching experience is not necessary because principals perform in roles that are non-instructional, e.g., keeping records, evaluating job performance, disciplining students, communicating with parents, ordering supplies, and school maintenance. It is a fact that the principal's role consists of a muriad of activities; however, it doesn't

warrant eliminating teaching experience as a prerequisite for school principals. (Guthrie, 1989)

Hyman (1986) stated the following concerning instructional leaders:

> As a supervisor of a teacher's professional growth, it is necessary to have in mind a concept of teaching. After all, it is the teacher's teaching that you are primarily supervising.
>
> In order to support teachers, a principal needs to have a basic understanding of the teacher's fundamental activity. (p. 66)

DEFINING QUALITY TEACHING

Teaching is a process that consists of deliberate consideration for student learning. It consists of strategic activities such as questioning and discussions; teaching involves the utilization of truth, reasoning, and intelligence as a means of promoting cognitive development; teaching is conveyed through verbal and written language; teaching is a set of triadic and dynamic relationships that occur in a unique time and place format. To get a better understanding of the process, please refer to figure 1 entitled "The Triadic and Dynamic Qualities of Teaching". (Hyman, 1986)

The requirement of teaching experience as a prerequisite for instructional leaders to become principals is essential because an understanding of the concept of teaching is necessary for them if they intend to be effective in this role. The instructional

leader must have the ability to identify and define quality teaching and use a practical approach for assessing teaching effectiveness.

The Triadic and Dynamic Qualities of Teaching

(Hyman, 1986)

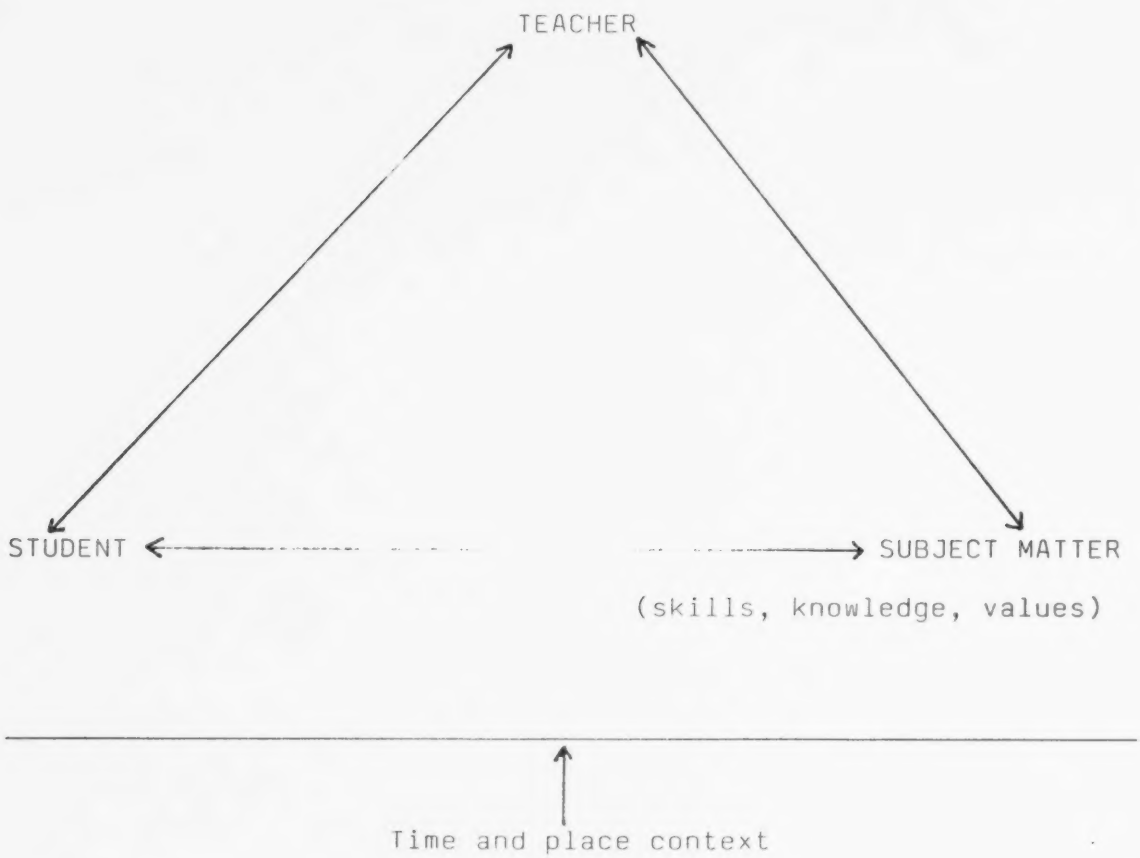

Figure 1

Braskamp, Brandenburg, and Ory (1984) found in their studies that educators responsible for assessing teaching need to employ a method for defining quality teaching. They recommend that instructional leaders study three primary areas when attempting to identify good teaching. The areas are input, process, and product. Figure 2 entitled "The Three Major Emphases for Defining Good Teaching" displays the three major areas with some eminent factors in each area.

Evaluation of instruction can be separated into areas of emphasis. For example, it can be divided by its emphasis on:

1. input-What do students and teachers bring to the class?
2. process-What do teachers and students do in a course?
3. product-What do students learn or accomplish in the course?

A closer examination of each emphasis should disclose the various definitions for effective teaching contingent on the focus placed on input, process, or product.

Input. When input is accentuated, the foundation for judging excellence is centered around things that occur prior to the beginning of the course. Data such as educational backgrounds, class size, and experiences of both the student and the teacher are used when focusing on input. The teacher as well as the instructional leader has limited control over these factors. The emphasis in this area is not on teacher behavior.

Process. If process is accentuated, the focus of attention is on what the instructor does both in the classroom and in the organization and management of the course. Questions applicable

to process include: What does the teacher require of students in the area of assignments? Does the teacher lecture or conduct classroom discussions in the class? Does the teacher maintain a good rapport with students both in and out of the classroom? Since there is a certain amount of ambiguity concerning the linkage between what is taught by the teacher and learned by students, sole reliance on process is not recommended.

Product. When product is emphasized, the foundation for judging effectively is the amount of student learning. According to Braskamp, Brandenburg, and Ory (1984), there are two major problems in linking student learning to conclusions about effective teaching. They are as follows:

1. The measurement of student performance must be done in a manner that confidence can be tested. Do tests adequately tap what students learn in a course?
2. Student ability, motivation, and prior knowledge influence what students learn in a class.

Instructional leaders must consider these factors when judging the effectiveness of a teacher. They must be cognizant of the fact that student performance is also not recommended as the sole basis for evaluating teaching competence. (Braskamp, Brandenburg, and Ory, 1984)

The Three Major Emphases for Defining Good Teaching

(Braskamp, Brandenburg, and Ory, 1984)

INPUT

- Student characteristic (e.g., class level)
- Teacher characteristics (e.g., rank, sex)
- Course characteristics (e.g., size)

PROCESS

- Classroom atmosphere
- Teacher behaviors
- Student learning activities
- Course organization
- Evaluation procedures

PRODUCT

- End-of-course, attitude change, skills acquisition
- Long-term learning, attitude change, skills acquisition

Figure 2

THE PURPOSE OF EVALUATION

The assessment of teachers and instruction according to Scriven (1986) is considered to be scandalous when compared to the evaluation of research. The evaluation of research has always been straightforward by comparison with the evaluation of teaching. The evaluation of teacher performance as we know it has been plagued by misconception and confusion. Many fail to understand its true purpose.

The fact that many regard evaluation as something similar to the giving of grades suggests that there is a great deal of misinformation concerning the function of evaluations. In fact, evaluation is used in education to perform a variety of functions. Eisner (1985), in his studies, has suggested that instructional leaders be cognizant of five significant functions of evaluation in education if they are to be effective evaluators. They are:

1. To diagnose problems
2. To revise the curriculum
3. To compare
4. To anticipate educational needs
5. To determine if objectives have been achieved

Instructional leaders need to be trained in these areas at schools of education where quality programs exists. These schools need to prepare school leaders to think critically about educational goals.

In short, evaluation should not be viewed upon as scandalous but rather as a tool for development and improvement. (Eisner, 1985)

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IMPROVING OBSERVATION SKILLS

Classroom observation is the most practical procedure for collecting data about teaching and teacher performance. The quality of observations and the ways instructional leaders collect and share data with teachers are primary factors in the success and effectiveness of teacher evaluation systems.

Many school districts set out to improve the observational skills of their instructional leaders by offering inservice and/or training in this area.

Training to improve observation skills is effective when instructional leaders develop a positive attitude about observation.

McGreal (1983) discovered that in his review of the literature, there appear to be four practical ways for instructional leaders to improve their observation skills and the way they use data once they are collected. He states that:

1. The reliability and usefulness of classroom observation is directly related to the amount and type of information instructional leaders have prior to the observation.
2. The narrower the focus instructional leaders use in observing classrooms, the more likely they will be able to accurately describe the events related to that focus.
3. The impact of observational data on administrator-teacher relationships and on the teacher's willingness to fully

participate in an instructional improvement activity is directly related to the way the data is recorded during the observation.

4. The impact of observational data on administrator-teacher relationships and on the teacher's willingness to fully participate in an instructional improvement activity is directly related to the way feedback is presented to the teacher.

These basic rules for training are all imbedded , in one way or another, in the concepts of clinical supervision, which is a model often utilized by school districts as a basis for their evaluation system. Although traditional definitions of clinical supervision prevent it from being used as a summative evaluation model, many districts have found that the supervisory techniques encouraged within the concept have practical implications. (McGreal, 1983)

SUMMARY

The purpose of this paper was to focus on the role of the instructional leader, the definition of quality teaching, the major emphases of teaching, the purpose of evaluation and ways instructional leaders may improve their observation skills.

Teacher evaluation and teacher attitudes toward assessment instruments were briefly discussed. Although teachers express

some skepticism about evaluations, the new educational reforms offer hope that evaluations can be used effectively as a tool for development and improvement of instruction.

Administrators need to make an effort to work more in the role of an instructional leader. It is imperative that instructional leaders do everything possible to improve instruction on their school campuses. This can be achieved by working in a collegial atmosphere with teachers.

Instructional leaders must train frequently in order to become proficient as judges of teacher performance. They must understand what quality teaching is. If instructional leaders concentrate more on the three emphases of good teaching, they should be able to evaluate teachers effectively.

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CHAPTER 9

TEACHERS AS LEADERS

Carla Briggs

INTRODUCTION

Teachers in leadership roles is a concept of great interest to educational reformers. Expanding the role of teachers would help solve many of the frustrations of today's system. These frustrations include the limited effect of top down reforms, the lack of cooperation between administrators and teachers, and the unprofessional teaching image. Promoting teacher leadership could help achieve education's goal of excellence by utilizing those who directly interact with the students.

According to the Carnegie Report (Sept. 1988), the Top Down Reform movements of the past few years have had very limited effect. One theory accounting for this is that these reforms and the curriculums they include are developed by people removed from the classroom. Very little time is spent actually talking with those who work with the students and who understand students' needs and frustrations. Another weakness in such reforms is the question of ownership. Teachers often feel ignored when important decisions in curriculum development and the goals of the reforms are made. Therefore they assign little importance or put minimal effort into reaching these outside goals, preferring to reach their own goals designed to fit their individual classes.

The lack of cooperation between administrators and teachers also contributes to lack of reform success. Again teachers feel

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The lack of cooperation between administrators and teachers also contributes to lack of reform success. Again teachers feel

they are not needed or respected when it comes to decision making. (Carnegie 1988) Teachers feel that any influence they might have disappears when an administrator becomes involved. This creates a friction between the two groups that makes working toward any common goal very difficult.

These elements add to the frustration that many teachers feel toward their role. Any job becomes more difficult if one feels unsupported. It becomes difficult to view one's self as a professional if the atmosphere is not conducive toward a professional image. A professional environment includes the opportunities to exercise professional judgement, earn a competitive wage and expect high entry and advancing professional standards. (Southwestern Educational Developmental Laboratories - SEDL - 1988) Many teachers experience dissatisfaction with the profession due to the lack of opportunities listed above. The traditional teacher is often viewed as isolated and uninvolved outside his classroom activities. This results from the lack of support or encouragement teachers feel they receive from administrators. Even when asked for input, teachers feel their ideas and opinions are overlooked due to the status and influence of administrators.

CARNEGIE REPORT: TEACHER INVOLVEMENT

The Carnegie Report (1988) found that teacher involvement in decision making varied from state to state, but the areas of involvement were rather consistent. The highest level of teacher involvement reported for the states of Texas and New Mexico were in the areas of textbook and curriculum development. The Report found that a moderate number of teachers felt involved in decisions

pertaining to student behavior, student promotion, student tracking and staff development. For both states a weak teacher involvement area was for budgets and teacher evaluation. The lowest involvement area was for new teacher and administrator appointments.

SCHOOL BASED REFORM

A reform that could well alleviate many of these problems is the School Based Reform. This Reform requires the school system to restructure itself by encouraging teachers to become leaders. The focus on teacher-leaders is for teachers to share in the authority and responsibility of attaining desired goals for individual schools. School-based restructuring moves toward excellence for every aspect of the school system, particularly in the field of teacher creativity and student learning. The rationale of restructuring our schools and the effects it has on promoting teacher leadership is the focus of this chapter.

RESTRUCTURING SCHOOLS

The Holmes Group recommends a restructuring of schools in order to provide a professional environment for teaching. Such an environment would enable teachers to determine the best methods of meeting state and local goals for children. Teachers would also be held accountable for student progress. A restructure reform advocates "lead teachers". These lead teachers would assume leadership roles in the redesigning of the school's instructional program and in assisting fellow teachers in achieving these program goals. One incentive for achieving a lead teacher position would be significant pay increases. Proposed pay increases reach $70,000 in the third year of lead teacher contracts (Holmes Group, 1986).

Other characteristics of a restructured school include a change in overall school and classroom atmosphere. In an article by Glen Harvey and David Crandall (1986), school atmosphere was described as "exciting, vibrant and proud." The restructured schools show a pride in their progress toward student achievement and a wish to share their pride with the community. The schools not only demonstrate their successes with the community, but encourage the community to become involved with school programs and goals. This involvement consists of individuals donating time as volunteers. Volunteers help in the classrooms as well as in other areas of the school. Businesses are involved in the restructured school by becoming "partners" with specific schools. This partnership strives to meet school-based goals by offering incentives to students and faculty. An example of such a partnership would be for a business to adopt a school and provide special services for outstanding students and faculty who achieve excellence in academics, attendance, participation and/or athletics. Such community involvement not only offers a sense of pride for those involved, but also offers a personal interest and commitment toward the excellence of education for every member of the community.

Classroom atmosphere in a restructured school has been characterized as having "high energy" and "high expectations" (Harvey, Grandall, 1986). This positive learning environment is reinforced with cooperation between student and teacher. This form of team work strives to meet the expectations set by the student and teacher. The partnership requires the teacher to change from the lecture mode

of instruction and adapt to the role of coach. A coaching style produces a supportive and personal relationship between teacher and student. Not only is this relationship practical for effective learning, but the curriculum can also be structured for an advanced level of learning. The curriculum is integrated, based on the basic principles of Bruner's Spiral Curriculum. The student masters the basics and then builds upon this knowledge in order to gain a deeper understanding of the subject matter. In this integration the student builds his knowledge not only in hierarchical fashion, but horizontally as well. Horizontal integration of information is achieved by studying various subject matters and how they relate to each other. English and History, for example, can be easily integrated as can music, drama and the visual arts. Integration of varied subjects provides the student with an understanding of how diverse subjects interrelate making his educational experience cohesive rather than a nonrelated assortment of subjects.

The restructured school strives to meet the needs of the student and the community, but simultaneously holds the role of the teacher in high regard. School-based reform calls for teachers to assume the role of leaders in order to achieve program successes. This latest reform hopes to encourage more decision making opportunities for teachers as well as to increase their authority and prestige. For many years educators have discussed the need to professionalize teaching in order to attract and retain quality teachers (Lieberman, 1988). If teachers take the opportunities afforded them by the School Based Reform movement, many of the goals to professionalize teaching will be reached. (SEDL, 1989)

SHARED DECISION MAKING

One of the most important aspects of teacher leadership is shared decision making. Decision making should include not only classroom interests, but those of the school as a whole. In the past, teachers were involved in decision making committees, but many complained that their involvement was meaningless. (SEDL) Teachers felt their input was ignored in favor of influential administrators. This lead to a lack of cooperation between administrators and their staffs. Shared decision making can be a long process but once decisions are agreed upon by teachers and administrators and are put into action, their chances for success are optimal. (SEDL) If staff see their opinions and beliefs become school procedures, they will be committed to successful implementation of these procedures.

Teachers are valued partners in decision making for many reasons. Teacher knowledge of students and subject matter is vital for the building of a curriculum which will best fit student needs. Teachers interact with students in a role that administrators are unable to emulate. The teacher's understanding of the student, his background, interests and behavior is very useful in discipline and promotion areas. Working with a student on a daily basis offers teachers the insights that could be overlooked by individuals not working in the classroom. Such insights should be used to improve learning conditions as well as the school system as a whole.

The teacher maintains a great deal of authority in the classroom. As the main authority figures they have the opportunity to exercise

professional judgment and creativity. Most teachers, however, feel that their authority ends outside the classroom. Even classroom authority is often dictated from the central office. How a teacher conducts and manages a classroom often depends on the curriculum, its goals and time limits. Curriculum is oftentimes planned by those who do not teach and who are out of touch with students and their immediate needs. Frequently, those outside the classroom exercise the authority which sets the expectations for student and teacher alike. This is frustrating for the teacher who wishes to be a true leader, who wishes to exercise some authority for the decisions and actions important in providing an optimal learning/teaching environment. Teachers are faced with many decision making situations each day in their own classrooms. If teachers do not possess the authority to follow through with their decisions outside the classroom, then their professional judgment is in question and the resulting inconsistencies will adversely affect the student.

The School Based Reform calls for greater authority for the teacher. Increased authority over actions and decision making takes advantage of teachers' expertise, knowledge and creativity. Increased authority also encourages teachers to work together by dividing responsibilities among the entire faculty. This aids in developing a greater awareness of a teacher's influence and responsibilities. Allowing teachers to take a commanding stand in the politics of the school reinforces the commitment they have to student and school excellence. Increasing authority outside the classroom helps pull the leadership team and its responsibilities

into all facets of the school.

Including teachers in decision making processes and increasing the authority of the teacher are two ways that leadership can be introduced into their role. The idea of teachers as leaders offers the profession something it is in dire need of -- prestige. The teaching field experiences a low level of esteem. Involving teachers in more leadership aspects of education not only helps improve the educational environment, but improves the image of teachers to educators and community alike as well as to the students. When teachers have an increased input in school decisions they feel a greater responsibility for ensuring that school expectations be met. This higher profile of involvement demonstrates the professionalism, creativity and expertise of the teacher. This could help redefine the image of the teacher as an isolated classroom instructor to an involved, informed educator. Such an image is one that helps professionalize teaching. Not only would these lead teachers be aware of increased prestige from peers and the community, they would also be aware of more options open to them because of their new standing in the school and community. Mobility opportunities in and around a system is a desirable career benefit for many young people. The opportunity for leadership roles and the resulting prestige in the teacher role would entice enthusiastic and talented young people to join the field of education. Educational leaders can not afford to overlook the advantages of encouraging teachers to involve themselves as leaders in schools at a time when our nation faces a severe teacher shortage.

COLLEGIALITY

One way teachers can adapt to a leadership role is through collegiality (Lieberman, 1988). Collegiality calls for teachers to work toward school improvements with their colleagues. Colleagues include administrators as well as other teachers. Collegiality stresses the equality of all members of the team working toward a desired goal. Leadership, authority, and responsibilities are divided among team members. In collegiality, status does not signify importance. Expertise and knowledge do. This atmosphere offers teachers the opportunity to assume the role of leader in a natural and nonthreatening way. Administrators and teachers work together with a feeling of good will, aware that their efforts are to work toward a common goal and not for separate interests.

Collegiality also encourages collaboration with peers. A common problem for teachers in a traditional program is isolation (McClure, 1988). It is very easy for teachers to isolate themselves from peers and school interests. Isolation takes place in the classroom. Teachers tend to feel they exist only in their classrooms. Their successes and failures are shut in with them and often gnawing at their self worth because their actions seemingly go unnoticed. Collaboration involves teachers in teamwork. The goal of collaboration is to support teachers, to reward them for innovations and successes and to work with them in their weak areas. Through collaboration, teachers become leaders in the improvement of the quality of instruction and the working environment. A brighter, stronger commitment will come from teachers who feel

they make a difference in education and are recognized for it.

Collegiality is beneficial for all members involved. Yet it is a long process. In order to reach collegiality and gain the positive rewards of both collegiality and collaboration a team has approximately nine steps to complete (McClure, 1988). Teachers need to be involved in each step in order for them to achieve collegiality as leaders.

According to Robert McClure in his article, "The Evolution of Shared Leadership", the first stage of collegiality is testing. The staff is tested for its sincerity and desire for change. This is followed by exhilaration and commitment toward the new image for those involved and for the goal to be reached. It is during this time of commitment that new leaders may emerge from anywhere in the teams framework. A low moment then arrives referred to as dispiritedness. This is a crucial time as members realize that success will not be sure nor swift. This step results in the awareness that help and answers will come from inside, rather than outside the group. This realization could be quite traumatic for teachers who are used to taking rather than formulating directions. This time is vital for teachers to strengthen leadership skills and ambitions. Dispiritedness is a discouraging time, but it is logically followed by a regeneration step. Regeneration is when true leaders emerge, for those weak of heart will have abandoned the effort during the preceding step. In order to rebuild faith and commitment the team completes the sixth step by seeking small successes. The team sets obtainable goals that are stepping stones for their long range plan. Research

now becomes important as team members begin to analyze problems and implement new problem solving techniques. This is a time of shared decision making when each member is an equal and valued source of input. The final steps are experimentation and comprehensiveness. Experimentation pilots new programs and prepares evaluations for these programs. Comprehensiveness pulls together each small improvement to get a view of the overall picture and the effects of collegiality.

Collegiality is worthwhile for teachers interested in assuming leadership roles. The steps McClure outlines give the teacher the chance to view personal effort and input from beginning to end. They exercise their new responsibilities for decision making and authority. Not only are they asked for input for improvements but they are able to put these ideas into action. Such involvement accents the role of teacher. They are able to influence the school system without becoming an administrator. They are afforded the opportunity of making a difference by using their unique insights, talents, qualities of a master teacher and their leadership abilities.

Although there is a strong move toward teacher leadership, one can't expect every teacher to welcome such a role. In every profession there are members who strive for personal and professional growth. But there are also members who prefer to quietly and effectively do their job without welcoming radical change or new responsibilities which they may not be capable of handling. Leadership is not for everyone. Followers are also necessary. Studies have characterized leadership qualities. A study conducted by Michigan State University

in 1986 listed not only the qualities of teacher leaders but also similarities in personal backgrounds (Hatfield, Blakman, Claypool, 1986).

QUALITIES AND CHARACTERISTICS OF TEACHER LEADERS

The Michigan study noted six qualities characteristic of teacher leaders. These teachers were adept when dealing with people. Being highly skilled in spoken and written communication was a characteristic. Teachers were flexible, patient and objective in order to gain support from peers. Good leaders must also be respected by peers and the teaching field was no exception in this regard. This respect was often earned by competence in one's subject matter. The final qualities noted were organizational ability and commitment to the role of teacher and leader.

Although the qualities of teacher leaders are universal to leaders in general, personal experience was important in the field of education. The majority of teachers in this study had 10-18 years of teaching experience. An overwhelming number held advanced degrees with 80% having Master's degrees or above (Hatfield, 1986). Although much time and energy goes into classroom teaching, these leaders were involved in more than one extended activity. These individuals were appointed to these extended positions by the administration. This support of the administration indicated respect and trust toward the teacher leader. Often their efforts were rewarded with increased job status. Incentives and prestige only encouraged 10% of the teaching force to become involved in outside activites.

The many forms of teacher leadership reflect the varying personalities and interests of the teacher leaders. The forms of

leadership cited in the Michigan study included department heads, coaching, class sponsorship, advisors to clubs, and curriculum and staff development consultants. These leaders gave a great deal of time and energy to their profession. What they asked for in return seemed small by comparison. The three main needs of the leader were support and communication from the staff and administration. Placed above even monetary incentives was the third need or the ability to grow professionally resulting from the additionally assumed roles.

TEACHERS AS LEADERS: CASE STUDY

A program which highlights the benefits of collegiality, collaboration and teacher leadership is a study hall program implemented at Magoffin Middle School. Magoffin is a Middle School in the El Paso Independent School District, El Paso, Texas. The 1988-89 school year was one of change for Magoffin for it was its first year to be involved in the Middle School concept, having existed as a Junior High for nearly fifteen years. This influence as well as the school district's move toward an Effective Schools format encouraged the staff at Magoffin to tackle the problems of high failure rates and poor attendance.

Under the direction of the Effective Schools guidelines, the Principal of Magoffin School organized an action planning committee of six teachers. The six members represented not only master teachers, but also the various subject matter areas present at Magoffin. Their first step was to evaluate the school in order to identify problem areas. The committee then picked the weakest area and began to analyze techniques which would best meet the

needs of those involved, mainly the students, and solve the problem. The areas picked were failure rates and poor attendance. The committee theorized that greater academic success for all students would encourage attendance. Therefore the emphasis would be on reducing the failure rate.

The basis of the program came from a veteran and master teacher. This teacher had twenty-seven years experience in the classroom with twenty of those years at Magoffin. She had observed that student failure at Magoffin did not appear to result from an inability to learn, but appeared to result from a lack of student responsibility and motivation resulting in incompleted assignments and little or no makeup work. This theory was supported by satisfactory test averages for the school as a whole. She had combated this problem in her classroom by enforcing a mandatory tutoring program for students with failing grades. The students soon realized that failure would not be accepted and they would be held accountable for their work. Students began to attend her tutoring program even when their grades were not failing and developed an interest and commitment toward better grades.

The Planning Committee felt that the basic principles of this program could be tried for the entire student population at Magoffin although they realized it might not be effective for all students.

The Study Hall Program was developed and implemented in the fall of 1988. Eight tutors were employed full time or part time. The tutors' responsibilities included tutoring, checking assignments and managing an atmosphere conducive to learning. Tutors were

teachers from all subject areas and grade levels. Study Hall was one hour in length and began immediately after school was over. The motto of the Study Hall Program was, "Will Not Accept Failure". The program was supported by all school staff. Even teachers not working as tutors had considerable responsibility toward the success of the program. Teachers filled out work assignments as well as student information so that the tutorial staff saw that students met teachers' expectations. Each last period teacher saw that students required to attend study hall arrived with needed materials. The office and administration staff were involved in the organization of the academic referrals and in discipline measures needed for uncooperative students.

The collegiality of the entire staff has been a key in the success of this program. From the program's inception, input on problems and solutions have been fielded by committee members and tutors. Revisions have been implemented, weaknesses have been strengthened and the students are succeeding. The failure rate over the current year has decreased 50%. The school's failure rate has on occasion dropped to 6% from an original 25% of the school population. The student responsibility goal is also materializing. Tutors have noted an increase in the number of students attending study hall without a teacher's academic referral. These students appear to enjoy the academic atmosphere as well as the tutorial assistance. The program is not yet perfect. Average daily attendance in the study hall is 150 students, but as many as 300 students have been in attendance. This doesn't support the atmosphere the program is

hoping to build. Tutors and committee members are also constantly diligent to ensure that students attend study hall when required to do so and spend their time there efficiently. But this is a program that is working. It is a program planned and put into operation by teachers and administrators. The program is carried out by teachers and supported by the entire staff of Magoffin School. Even in the dispirited times, the thought of quitting was not an option. Through collaboration, those involved worked together and supported creative and innovative solutions. The administrators have been extremely supportive by allowing teachers to share in the decision making and dividing authority among committee members and tutors. Perhaps it is the responsibility and leadership opportunity that keeps the members of this program enthusiastic. They look forward to next year's program becoming even more successful than the present year has been. Teachers at Magoffin have been successful in many ways. They have solved student problems by using knowledge of student needs. Student success and esteem has risen with student failure decreasing. Teachers' pride in their efforts, ability and influence has paralleled students' pride in their accomplishments.

SUMMARY

The Magoffin study hall is one example of teachers assuming leadership authority and responsibilities. The program is a success. The teachers involved also feel successful in their own growth as leaders. Although these teachers are not in a system based on restructuring, they were afforded the opportunities of leadership outlined in the restructuring program. It is not

necessary for a certain reform to be in progress for teachers to become leaders. As long as there are dedicated teachers and administrators with both groups striving for excellence in education, there will be room for teacher leaders. Giving teachers leadership opportunities works toward meeting problems facing the profession today. It will also set excellent role models for students - a model of involved, responsible and caring individuals.

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CHAPTER 10

THE EFFICACIOUS LEADER/GROUP EMPOWERMENT

Harold Bergsma & Renee Sisson Frank

Perceptions embedded in research literature about educational leadership are diverse and often conflicting. For instance, the "effective school" literature posits strong type A leadership as being a correlate of school effectiveness (Mackenzie, 1983, p.11). In contrast, numbers of case studies point to an effective leader who behaves in ways that are understood by the school community and its culture. "The typical inner city principal is a 'bad dude' while in a rural southern community, the elementary principal may be a 'mammy.'" Joe Clark, the principal depicted in Time (Feb. 1, 1988), cradles his bullhorn and charms and bullies his students into conforming behavior. Contrasts do not stop here; the review of leadership winds its way through descriptions of leadership as: a touch of craft (Blumberg, 1987), to the leader as a moral imaginator (Greenfield, 1987), or to use Terrence Deal's (1987) words, effective school principals are "counselors, engineers, pawnbrokers, poets, or instructional leaders."

Research literature relating self-efficacy to group empowerment and educational leadership of educational groups is lacking space. This chapter reviews research findings of self-efficacy and locus of control and relates these to the development of a theory of leadership, and more, to the development of principles which relate to make them more effective with the groups for which they are responsible. This chapter explores these two themes and concludes with the assertion that correlates of high external locus of control and high internal

control reveal striking insights to leadership behavior, particularly as these lead to enhanced self-efficacy and control of individuals and groups.

Empowerment

Empowerment is a term used by a number of theorists and practitioners relating to and explaining organizational and managerial effectiveness (Conger & Kanungo, 1988). Organizational effectiveness is achieved by promoting innovation (Kanter, 1983), effective leadership (Bennis & Nanus, 1985), creativity, and self-motivation of employees (Greenberger, Strasser & Lee, 1988) leading to high organizational goal achievement, quality and productivity. In addition to these organizational outcomes, empowerment results in individual outcomes of high self-worth, and autonomy (Nielsen, 1986). In fact, so rich is the concept of empowerment in implications for personal growth, mastery, and positive self-cognition, that it has been used as a model by mental health practitioners (Swift & Levin, 1987).

Empowerment is often described in terms of its relationship to power, the consequences of sharing power, and of powerlessness. Power is often understood as "a measure of a person's potential to get others to do what he or she wants them to do, as well as avoid being forced to do what he or she does not want to do" (Kotter, 1979, preface). In other words, power is conceived as an observable phenomenon in terms of tangible outcomes, which can be evaluated by what others observe (Greenberger, et al., 1988).

Yet there is an internal, cognitive aspect to power. McClelland (1975) defined the need for power as primarily the need to "feel strong," with acting powerfully as a secondary aspect (p. 77). Others have described power as a product of the net dependence of one actor over another (Pfeffer, 1981). There is clearly a relationship between the notion of power, personal control, and self-efficacy. Individuals with power are more likely to achieve their desired

goals and to experience self-determination and mastery than those without. Because of the reciprocal relationships between behaviors, cognition, and the environment, Bandura (1982) states,

> The amount of imbalance of social power partly depends on the extent to which people exercise the influence that is theirs to command. The less they bring their influence to bear on others, the more control they relinquish to them (p. 144).

Personal control and self-efficacy are "intra-psychic" variables involving personal judgement and expectancy. Both personal control and self-efficacy are likely to determine the extent to which individuals might avail themselves of the sources of power made available to them. Likewise, pre-sense or lack of power sources will impact personal judgments of control and efficacy.

Kanter (1979, 1983) described empowerment in terms of making power or the tools of power (information, resources, and support) available to workers in an organization. She perceived that power "is intimately connected with the ability to produce; it is the capacity to mobilize people and resources to get things done" (p. 213). She observed that when employees feel powerless, they feel that everything is out of their control. Without power there is no innovation, flexibility, or responsiveness, which are necessary for success of the organization.

School leaders, by the very nature of the structures they operate with, in, and on, become agents for the development of processes which allow for and enhance utilization of all the technologies of education as well as an institution's resources. Conversely, lacking such impetus, they become agents for decreasing the power of teachers. Psychological empowerment requires conscious attention to identifying those barriers to personal efficacy and working to develop practices which promote faculty powerfulness. Teachers who develop heightened self-efficacy enliven each other and together create more dynamic systems, more powerful operational structures.

Conger and Kanungo (1988) sought to explain the psychological mechanisms that are activated by the process of empowerment, describing it as a motivational construct. They defined empowerment as "a process of enhancing feelings of self-efficacy among organizational members through the identification of conditions that foster powerlessness and through their removal by both formal organizational practices and informal techniques of providing efficacy information" (p. 474).

In the attempt to operationalize the concept of empowerment, it is important to explain or at least uncover the underlying factors and mechanisms operating within the organization, group, and/or the individual which lead to greater employee initiative, motivation, persistence, creativity, and performance. It is clear from the preceding discussion that self-efficacy and personal control provide a rich source of explanations for observed or surmised relationships. These concepts also suggest possible management strategies and techniques for enhancing the desired positive effects. The following represents a synthesis of the works of Conger and Kanungo (1988), who linked empowerment with self-efficacy; Greenberger et al. (1988), who linked empowerment with personal control; and many others who have described relationships which can be incorporated into an integrated empowerment process model.

School leaders who utilize top-down leadership approaches (Brookover, et al., 1983) and fail not only to delegate, but literally do not harness the ideas and support of faculty in the school's operation, set in motion a cycle of powerlessness. Innovation and faculty responsiveness emerge directly from sharing, from involvement, and from being personally efficacious, therefore more powerful.

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Bennis and Nanus (1985) describe empowerment as "power's reciprocal" whereby leaders do not relinquish power, but in fact gain more power when they

"empower others to translate intention into reality and sustain it" (p. 80). They describe four dimensions of empowerment. The first is significance, or a "feeling of being at the active centers of the social order" (p. 82). Teachers and employees feel they are a part of something worthwhile, active, and vital. The second is competence, or a "sense of mastery and ever-new horizons" (p. 82). Third is community, a "sense of reliance on one another toward a common cause" (p. 83). The fourth dimension is enjoyment or pleasurable and positive experience in the course of performing work.

Bennis and Nanus speak of the reciprocals of significance, competence, community, and enjoyment. These are the hallmarks of the development of teachers as leaders. Teachers who recognize that their ideas, their cooperation, are needed to improve curriculum, to enliven school operations, act in ways which reinforce their feelings of being efficacious. They are significant actors in the institution's operation. Teachers who see their ideas put into practice recognize their own competence. Community develops when people share information about all aspects of working together socially, including knowledge about and manipulation of power structures. Enjoyment is evident among those who work at tasks and are recognized for their contributions and rewarded for achievement. Group efficacy emerges as a powerful force for institutionalization of innovation and change resulting from members sharing their ideas.

Burke (1986), like Kanter, sees empowerment as the antidote to powerlessness. But rather than conceptualizing empowerment in terms of making available the commodities of power, he operationalizes much the way Bennis and Nanus do, as coming from:

> leaders providing clarity of direction, but not just any direction--a direction that encompasses a higher purpose, a worthy cause, an idea, and will require collective and concerted effort (p. 69).

Nielsen (1986) distinguishes between the structural implications of empowerment implied by Kanter, which focuses on making the commodities of power available to employees, and the interpersonal dynamics implications in which subordinates are psychologically empowered. Empowerment involves the development of both technical or organizational resources and the psychological resources to sustain achievement.

The empowerment process model for leadership in educational organizations ties together mechanisms which enhance both individual and group development in an environment of rewards related to or contingent upon the actions and the affect of members of the group. The leader is a member of this group. The leader enhances the group's power through making resources available to sustain achievement.

A model of empowerment using concepts of self-efficacy and personal control can be anchored with behaviors and outcomes associated with high self-efficacy and personal control, on the one hand, and with low self-efficacy and personal control on the other. Task initiation, level of effort, and persistence are results and are predicted by measures of self-efficacy (Bandura, 1977b, 1982). Likewise, personal control predicts engagement or avoidance (Langer, 1983; Averill, 1973) and mental "mindfulness" addressed to achieve desired ends (Langer, 1983).

The converse of empowerment, bringing about a state or sense of powerlessness, results in negative outcomes for both organizations and the individuals in them. The effects of perceptions of low personal control and low self-efficacy are well documented. A sudden loss of control may result in a reaction to restore personal control (Wortman & Brehm, 1975). Repeated failure to restore control could result in learned helplessness (Seligman, 1975), manifested in inactivity and depression. Perceived loss of control and/or self-

efficacy is associated with low self-esteem (Eden, 1988), passivity, withdrawal, and fear (Averill, 1973; Miller, 1979, 1980). Low self-efficacy is also associated with low effort and persistence, normally followed by poor performance and potentially a sense of futility, anxiety, and negative self-referent thought (Bandura, 1982).

Teachers who have learned that they are not heard, or if heard, not responded to, become passive, distant, and reactive to their leaders. Anxiety leads to lower effort, to being unwilling to volunteer effort and eventually to a group climate of low efficacy, system blame, and external attitudes toward control.

As Langer (1983) pointed out, "An environment that encourages control is one that encourages mastering" (p. 20). The process of empowerment is the process of encouraging mastery, through the enhancement of individual perceptions of self-efficacy and personal control. Managerial strategies and techniques which have a positive impact on self-efficacy and personal percepts lead to mastery and internal or intrinsic motivation. Stated another way the process of developing strong percepts of self-efficacy and personal control is the process of empowerment.

The literature which looks at effective teachers and lists traits which lead to student mastery and effective learning are, if reviewed from the perspective of self-efficacy development, <u>behavioral descriptions for empowering students</u> by teachers who hold high personal self-efficacy. A few of these teacher traits are:

* emphasizes academic achievement and expects all students will achieve;
* makes sure that students master one unit before moving on to the next;
* involves students in learning activities whenever possible;
* assigns tasks for which students have a high likelihood of achieving;

* gives adequate feedback so students know what they have learned and what still needs to be learned;
* finds ways to get students to cooperate with one another and take responsibility for their work; and
* encourages positive behavior and controls negative behavior (C. Craigo, 1989; unpublished paper, El Paso, Texas).

Teachers as educational leaders who utilize managerial strategies such as those listed above, are in accord with the research findings on self-efficacy and the development of positive processes for moving students toward more internal control. Mastery relates directly and is operationalized through targeting increases in personal control and heightened motivation.

The Efficacious Leader and Motivation

Self-efficacy is a cognitive process involving "judgments of how well one can execute courses of action required to deal with prospective situations" (Bandura, 1986, p. 122). These judgments influence human functioning in the choices about whether or not to engage in certain behaviors, how much effort to apply, and how long to persevere (Bandura, 1986). Individuals have several sources of efficacy information from which self-appraisals are formulated. Efficacy information is "conveyed inactively, vicariously, persuasively, or physiologically" and is "selected, weighted, and integrated into self-efficacy judgments" (Bandura, 1986, p. 362). The inferential process of arriving at efficacy judgments involves perception of ability factors and non-ability factors as well.

The process is not always an accurate one: individuals may over- or under-estimate their capability to perform a task or group of skills. Leaders who exhibit positive behaviors and who in fact have an understanding of their ability to be efficacious because of personal experience can be a positive force

in similar development of their faculty through the types of tasks they work to accomplish and how well they inspire confidence and enhance motivation through praise, reward, and accomplishments. For faculty who over-estimate their abilities, leadership will require reassignment and reformulation of tasks which can be performed well. In this sense there is the intent to build positive feelings persuasively through selected activity.

The process is not always accurate because people are complex and react to leadership behavior variously. Motivation for task completion and for building organizational unity can be achieved through reward, through modeling of appropriate behaviors and using mechanisms of control such as supervision, evaluation, output control, and input control where the rewards are obvious to faculty by the ways programs and people are financially supported.

To enhance self-efficacy of those with low self-concepts is a challenge for leadership. Teachers who have learned to back off and not participate, not volunteer, rather be left alone to do their job are exhibiting avoidance behaviors which are based on what they have experienced and learned in past interactions in their socialization and in work in group settings. The implications are particularly serious for individuals with pervasive doubts about their abilities, as they tend to avoid behaviors about which they feel inefficacious. If they do engage in the behaviors, they are likely to expend less effort, their performance may be off, and they are not likely to persist when difficulty arises. This in turn leads to lower self-efficacy and a debilitating cycle of self-fulfilling prophesy. Low self-efficacy is associated with fear, anxiety, and negative physical arousal (Bandura, 1982). On the other hand, individuals with erroneously high self-efficacy fare much better, engaging in behaviors, applying effort, and persisting such that skills can be developed. This high effort and perseverance generally results in high performance (Bandura, 1982).

Self-efficacy is not a measure of the skills possessed, but rather a belief about "what one can do with the sub-skills one possesses in dealing with continually changing realities, most of which contain ambiguous, unpredictable, and stressful elements" (Bandura, 1986, p. 360). Self-efficacy influences the level of performance in given situations through "choice behavior, effort expenditure and perseverance, on self-hindering or self-aiding thought patterns, and on affective and neurophysiological reactions to environmental demands" (Bandura, 1986, p. 362). As a consequence, it can be surmised that, given the same capability, actual performance can be superior, average, or inferior, depending upon the self-efficacy belief held by an individual. In fact, research results support this notion (Bandura, 1986). Educational leaders should understand these processes when working with teachers. Since there is a high likelihood that they will be interacting with those whose levels of self-efficacy may vary greatly, they should understand that teachers work habits will be effected by their individual perceptions of being efficacious. Leaders can work toward altering teachers' views of themselves (Bergsma & Chu, 1979).

Perceived self-efficacy may be altered in several different ways. The most influential impact is derived by direct mastery experiences. However, self-efficacy may also be modified by social-comparative information derived vicariously, through live or symbolic modeling or by social persuasion as in suggestion or exhortation, attributional evaluation, and proffered incentives (Bandura, 1977 & 1986). Individuals may alter their own efficacy expectations through self-instruction and/or reinforcing patterns of thought.

There are three dimensions along which percepts of self-efficacy may vary. These include magnitude, generality, and strength (Bandura, 1982). Differences in magnitude are demonstrated when tasks are ordered by level of difficulty, and individuals indicate feelings of efficacy up through a certain difficulty level

and no further. Generality is the extent to which feelings of efficacy are specific to a particular task or whether they extend to related or even unrelated tasks. The strength dimension described feelings of efficacy which are relatively easily extinguishable versus stronger expectations which remain intact even after disconfirming experiences.

The concept of self-efficacy has many implications for organizational behavior and organizational effectiveness. It provides an excellent operational concept for understanding motivation in organizational settings, integrating well with goal-setting, feedback, intrinsic interest and the Pygmalion effect (Bergsma, 1974; Gist, 1987). Bergsma noted in "Leader Expectancies Toward the Culturally Different" (1974) that the attitude the teacher holds about his/her students effects student performance. Attitudes leaders have toward their faculty similarly create self-fulfilling prophesies of withdrawal and negative self-esteem.

Personal Control

Personal control is a belief about ability to affect desired change on the environment; however, it is also an ongoing process (Langer, 1983). Control is experienced as people "master their internal (mental) or external environments" (Langer, 1983, p. 19). Langer defines personal control as "the active belief that one has a choice among responses that are differentially effective in achieving the desired outcome" (p. 20).

Personal control is a cognitive construct describing the perceptions a person experiences rather than his/her overt responses (Chanowitz & Langer, 1980). To experience personal control, individuals must perceive themselves as the causal agent (Greenberger & Strasser, 1986).

It is critical that leaders create opportunities and reinforce teacher behaviors which bring about a real awareness among those teachers that have

caused change. When teachers assume ownership for change, they reinforce their own sense of control (Bergsma, 1979).

The need for personal control or mastery in one's environment is stable, pervasive, and basic to human functioning (Langer, 1983; de Charms, 1968; White, 1959). The need for control prompts individuals to seek information from the environment, and forms the basis for their interpretations and attributions regarding their own behavior and the behavior of others (Langer, 1983).

There is a relationship between the concepts of personal control and locus of control (Rotter, 1966). The latter is a relatively stable tendency to attribute causality for outcomes internally to causes within the individual or externally to causes outside the individual. In contrast, perceptions of personal control vary from situation to situation and are compatible with either internal or external loci of control. However, the tendency to attribute causality to sources either internal or external to self can determine how individuals seek control and can influence how they react to perceptions of loss of control (Wortman & Brehm, 1975).

Langer (1983) emphasizes that a process orientation is more successful in achieving personal control than is an outcome orientation. That is, when individuals focus on strategies for solving a particular problem or achieving an end, they tend to perform better than when they are focused on whether or not they can achieve the end. To achieve meaningful control, the first step is to become "aware of the ever-present opportunities for doing so. The next step would be to transform this awareness into a stable orientation toward active involvement with the environment," e.g. develop a process orientation (p. 136).

Personal control is an important variable in organizational settings. Behaviors associated with perceptions of high personal control can contribute to organizational effectiveness, while those associated with low perceptions of

personal control could have adverse effects on organizational effectiveness (Greenberger & Strasser, 1986). Organizational variables, frequently discussed in organizational behavior literature, can have significant effects on perception of personal control. These may include organizational policies, norms, cultures, structures, reward systems, job characteristics and demands, and leadership (Greenberger & Strasser, 1986). Educational supervisors, through daily personal contact with teachers and employees responding with either contingent or non-contingent behavior significantly impact employees' perceptions of personal control (Greenberger, et al., 1988).

In any case, there is evidence in literature of both self-efficacy and personal control that, whether they work in tandem or as interacting variables, that given the same capabilities and opportunities, actual performances and outcomes achieved may vary considerably, from poor on the one hand to extraordinary on the other. This alone signals that considerable attention of educational leaders and organizational specialists to these concepts is warranted and necessary.

There are many factors present in educational organizations which act to enhance or undermine personal efficacy or personal control judgments. Loss of personal control, or opting for proxy control can lead to a sense of personal inefficacy. Also, "situational factors that often accompany poor performance can in themselves instill a sense of incompetence that is unwarranted" (Bandura, 1982, p. 142). When individuals are cast in inferior roles or given an inferior label, they perform at a lower level than their skill level would indicate. Presence of an intimidating condition, even such as a competitor who seems to be highly competent or capable, can lower self-efficacy, and thus lower performance.

Important to both self-efficacy and personal control is the element of uncertainty. Langer (1983) emphasizes that it is important to the concept of personal control that there be some uncertainty of success "or else the behavior could be performed mindlessly (mechanically)--it then would be psychologically equivalent to a non-event" (Langer, 1983, p. 20). Likewise, uncertainty is important to self-efficacy in terms of motivation to learn or prepare (Bandura, 1982). Specifically, good performance follows from strong self-efficacy coupled with uncertainty "construed in terms of the challenge of the task, rather than fundamental doubts about one's capabilities" (p. 123). Thus, uncertainty engages the cognitive processes and provides salience.

Relationship Between Self-Efficacy and Personal control

The relationship between self-efficacy and personal control sheds additional light on the mechanisms which affect efficacy and control expectations, and consequent choice, effort, persistence, and levels of performance.

The two concepts are remarkably intertwined, to such an extent that discussions of one sometimes overlap or cannot be distinguished from the other. Because the operative variables are cognitive judgments regarding the self and expectancy of effect on the environment, the strong interrelationship between the two is not a surprise.

Although overlapping to a large extent, it is sometimes possible to draw distinctions in the expectancies involved with each. Efficacy expectations are concerned with operative capability in dealing with environmental demands or situations. Control expectations are concerned with impact on the environment. This distinction seems to be demonstrated by a situation reported by Rodin, Rennert, and Solomon (1980) in which individuals are given choices which do affect outcomes, but they do not have the information needed to assure successful execution of the choices. Under such circumstances, subjects

experienced increased levels of stress in a situation in which control was high but efficacy (perceived ability to execute the choices) was not. However, the distinction in not clear cut. It is quite possible that subjects described above did not experience strong perceptions of personal control when offered the means of control, because of doubts in their ability to execute the choices.

Organizational and Environmental Factors

Educational organizations form a varied fabric of environmental and contextual factors which facilitate or impede the development of self-efficacy and personal control of the individuals in them. An organization's structure, policies, functional differentiation, and resource allocation, as well as the business environment and economic pressures all play a part in the determination of which behaviors will be encouraged, recognized, and reinforced.

Conger and Kanungo (1988) categorized into four headings many of the contextual factors within organizations which may have an impact on feelings of "powerlessness" among employees. These include organizational factors, supervisory style, rewards systems, and job design. Organizational factors include significant organizational changes or transitions, competitive pressures, impersonal bureaucratic climates, poor communications systems, and highly centralized resources.

Block (1987) relates bureaucratic structures and authoritarian management styles to experienced powerlessness, dependency, loss of self-expression, and forms of manipulation which result in perceived loss of control. Kanter (1979, 1983) observes powerlessness as the result of inadequate access to resources, information, and organizational support. Even common cultural practices which differentiate supervisors from subordinates, management from labor, etc., through titles, perquisites, or privileges may bring about "self-induced dependency" (Langer, 1983) and subsequent performance decrements. Educational

leaders who are perceived as part of the team, who inspire non-differentiation between leader and led, who reward through designation of titles, through participants in decisions which lead to change enhance performance and powerlessness of teachers.

Vision = Goal Difficulty and the Pygmalion Effect

Discussions of empowerment often include references to lofty and inspirational visions which engage employees and lead them on to greatness (Bennis & Nanus, 1985; Burke, 1986; Block, 1987). It is instructive to examine this process, sometimes described as motivation through "pulling" as opposed to "pushing," as it relates to self-efficacy and personal control.

As Bennis and Nanus (1985) describe it, "When the organization has a clear sense of its purpose, direction, and desired future state and when this image is widely shared, individuals are able to find their own roles both in the organization and in the larger society of which they are a part" (p. 90).

In social learning theory, goal-setting and self-evaluative reactions are intervening processes in motivation (Bandura, 1977). In goal-setting theory (Locke, Shaw, Saari, & Latham, 1981), human action is described as goal-directed, with conscious goals being "the most direct and immediate regulator of much human action" (Locke, Motowildo, & Bobko, 1986). Specifically it has been shown that groups that have specific and difficult goals achieve higher levels of performance than those with vague, less difficult, or no goals (Locke, et al., 1981). Expectancies such as self-efficacy are identified as antecedents of goal level, affecting an individual's choice, acceptance, and commitment to a goal. However, Bandura and Schunk (1981) also found that manipulation of goal difficulty also produces consequent changes in self-efficacy as well as performance.

In a discussion integrating goal-setting, social learning theory, and the Pygmalion effect, Eden (1988) posits a relationship between "state expectancy" such as self-efficacy and goal difficulty whereby both influence each other and therefore, each has both a direct and an indirect effect on performance.

One framework for distinguishing efficacy and control, as well as understanding the relationship between them, is offered from an action-theoretical perspective (Skinner, Chapman, & Baltes, 1988). Three types of beliefs, including agency beliefs (self-efficacy), means-ends beliefs (outcome expectancies), and control beliefs, are related schematically as shown below in Figure 2. In this scheme, efficacy beliefs or expectancies are distinguished from means-end or outcome expectancies. This is consistent with Bandura's (1977b) differentiation between efficacy and outcome expectations.

Control beliefs or expectancies, as shown in the diagram, may reflect something other than the individual's analysis of his/her efficacy and outcome beliefs, but rather a shortcut subjective expectation that, "I can obtain this outcome." The beliefs about efficacy, outcome, and control may, in fact, serve different cognitive functions.

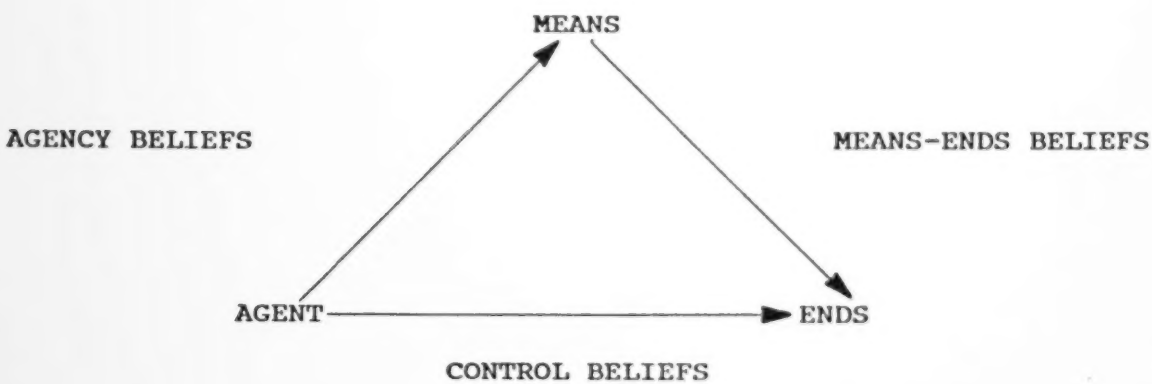

FIGURE 2

A schematic representation of three sets of beliefs about the relations among agents, means, and ends. From Skinner, Chapman, and Baltes, 1988, p. 118.

"Individuals may assess control in a global manner prior to making a commitment to act, and then information similar to means-ends and agency beliefs may be used to form a specific action plan" (Skinner, et al., 1988, p. 118). This bears out an assertion made by Langer (1983) about the distinction between a "process orientation" and an "outcome orientation" and may explain why individuals who are assigned a difficult goal, and thus are given little or no choice, outperform individuals who are asked to choose a goal. In the former case, individuals have an expectation that they can achieve the outcome, and adopt a "process orientation" which focuses on various strategies by which the outcome can be obtained. Individuals asked to choose a goal must adopt an "outcome orientation," which focuses on limitations of beliefs about ability and outcome expectations (Langer, 1983).

If goal difficulty can increase self-efficacy by establishing a high expectation for success, then perhaps the process of establishing a "vision" can be described as setting a difficult broad goal in a manner which clarifies direction and creates a high expectation for achievement. Such a vision could be expected to enhance not only self-efficacy but also feelings of personal control through reducing uncertainty regarding the future. Leaders who carry visions create visionaries.

Rewards and Internal Motivation

Internal, or intrinsic motivation, is often increased when perceptions of self-efficacy increase, stemming from satisfaction derived from performance accomplishments (Bandura, 1982). There are various ways in which to induce performance leading to enhanced self-efficacy and consequently internal motivation. Incentives can contribute to the growth of self-efficacy and internal motivation, or can reduce interest and motivation, depending upon whether the rewards themselves provide efficacy information. People have been

found to increase interest in activities when they are rewarded for performance attainments, but decrease interest when rewarded for simply engaging in an activity without feedback as to performance attainment (Boggiano & Ruble, 1979). In relation to efficacy expectations and outcome expectations, Bandura (1982, p. 140) predicts that "a high sense of personal efficacy and a responsive environment that rewards performance attainments fosters assured, active responsiveness." The message is clear. Teachers who get reinforcement and rewards for their products, for their ideas and for creating new processes that work will create psychological environments of responsiveness.

The presence of personal control also seems to have an important effect on internal motivation. Fisher (1978) found that individuals are likely to experience an increase in intrinsic motivation when they perceive personal control over their performance. Boggiano, Main, and Katz (1988) found that in a controlling, pressured context in which perceived control and self-determination are diminished, even positive performance feedback does not increase internal motivation. Leaders who are perceived to be manipulators, controllers de-enhance their effect with teachers who back off in spite of the words of praise and appreciation that are given. Controlling techniques in the reward process that suggest other than self-determination reduce preferences for challenging tasks among children, and this effect persists even after the rewards are no longer operative.

Proximal Goals and Internal Motivation

Bandura (1977) identifies the intervening process of goal-setting and self-evaluation as highly influential in the social learning theory context in building and sustaining interest and internal motivation. By making internal comparisons of performance against some type of personal standard, individuals create self-incentives (Bandura, 1982). Devising sub-goals which lead to

attainment of a larger goal, individuals set up a standard for judging how well they are doing. Thus, "self-motivation is best summoned and sustained by adopting attainable sub-goals that lead to large future ones" (p. 134). Bandura and Schunk (1981) showed that this "proximal self-motivation" leads to substantially more mastery and stronger self-efficacy among children in solving arithmetical problems than did other condition. Attainment of sub-goals provide "markers of progress" and "foster veridical self-knowledge of capabilities" (Bandura, 1982, p. 134).

Though the research here speaks of children, it is possible to infer similar actions among teachers. The child in each of us continues to react. The child in the teacher responds to the excitement of achieving a sub-goal which is part of the larger goal of the organization. Leaders must learn to establish structures which contain proximal goals and provide real rewards for teachers who achieve with these frameworks.

Feedback

Performance feedback is necessary in order for an individual to reappraise self-efficacy. Self-generated feedback is very effective in enhancing self-efficacy, and strengthens performance more than feedback provided by others, such as a supervisor (Ivancevich & McMahon, 1982).

It is often the case that feedback comes from sources other than the individual's own observation. It has been shown that when feedback is manipulated to provide erroneous information regarding performance, individuals make inferences based on the erroneous information in assessing self-efficacy. For example, students whose self-efficacy in problem-solving has been influenced by arbitrarily high feedback persevere far beyond those whose self-efficacy has been negatively biased (Cervone & Peake, 1986).

Negative feedback does not always lead to reduced feelings of self-efficacy. If, in the self-evaluation process, an individual compares negative feedback to an internal standard that he or she should do better, the result is an intensification of effort leading to better subsequent performance (Bandura & Cervone, 1983). Thus, pre-existing self-efficacy judgments, augmented by internal standards (or proximal goals) affect an individual's response to negative feedback.

The way in which feedback is provided also may have an impact on perceptions of self-efficacy. Exposure to destructive criticism, which is threatening, inconsiderate, and attributes poor performance to internal causes has adverse effects on self-efficacy and self-set goals while negative feedback given constructively does not (Baron, 1988).

Leaders need to evaluate the mechanisms they employ to provide negative feedback. Destructive criticism which demeans the person, creates lower self-efficacy. Well meant criticism provided in an atmosphere of irritation, impatience, and not holding the one criticized in high regard has negative consequences. Self-esteem falls, defensiveness increases, and a cycle for conflict emerges.

Group Development and Collective Efficacy

Nielsen (1986) advocates a strategy for empowerment which focuses on the interpersonal dynamics of group development, transitioning from a "set of isolated actors to a collaborative and highly interdependent work team" (p. 31). This strategy gives rise to an application of the concept group or collective efficacy (Bandura, 1982). Bandura points out that many of the challenges people face are group problems that require collective rather than individual effort to effect change. Certainly this is true of organizations: "As the need for efficacious group action grows, so does the sense of collective powerlessness"

(Bandura, 1982, p. 143). As individual percepts of efficacy and control must be enhanced to achieve and sustain mastery and internal motivation, so too must groups gain collective efficacy. There are currently no instruments available to measure the perceptions of a group as to their efficacy in achieving results. The concept of collective efficacy through group development raises interesting questions regarding the relationships between group efficacy, group performance and mastery, group motivation, and their effects on self-efficacy and personal control among group members.

Conclusion

While empowerment is getting considerable attention as a process for achieving positive outcomes for organizations and the people in them, there has yet been little empirical work done to test the proposed relationships. Operationalizing the empowerment concept using self-efficacy and personal control, each of which have accumulated a body of empirical research, offers many opportunities for identifying and testing relationships between variables.

It is clear that leadership and vision are integral elements of the empowerment process. Heretofore, most discussions of these concepts are prescriptive and "soft," lacking in conceptual clarity and researchable relationships. Self-efficacy and personal control are measurable mediating variables which should prove to be quite useful in determining the impact of various leadership behaviors.

Mechanisms associated with the empowerment process which provide for greater employee participation in decision-making, such as employee ownership, self-managing work teams, and quality circles may also be tested using the variables of self-efficacy and personal control. It would seem that these mechanisms would result in a higher sense of mastery for employees gained from perceptions of greater personal control and self-efficacy.

There are implications in the training of managers, both in academic settings and in the workplace. As Block (1987) suggests, the empowered manager is more likely to empower employees. Self-efficacy regarding managerial skills and perceptions of personal control in various contexts may be the best predictors of managerial behavior. Efforts to raise those perceptions in managers could result in greater empowerment of employees and greater organizational effectiveness.

It is becoming increasingly critical for organizations to consider structures, mechanisms, and practices which are associated with greater organizational effectiveness. As Kanter (1983) predicts, "The corporations that will succeed and flourish in the times ahead will be those that have mastered the art of change: creating a climate encouraging the introduction of new procedures and new possibilities, encouraging anticipation of and response to external pressures, encouraging and listening to new ideas from inside the organization" (p. 65). The successful educational organizations will be those which consciously establish environments which encourage mastery, that practice strategies to enhance self-efficacy and personal control of organizational members.

Empowered leadership is only possible in an atmosphere of empowered actors within the group. The efficacious leader is one who understands the powerful mechanisms of creating processes which enhance all in the group and this sets an affective climate for sharing change and risk.

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